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COMMUNITY PARTICIPATION IN LOCAL GOVERNANCE: A SYSTEMIC ANALYSIS OF ETHEKWINI MUNICIPALITY'S DESIGN FOR EFFECTIVENESS.

by

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ABSTRACT

The study did a systemic analysis of eThekweni Municipality's design for effectiveness looking at community participation in local governance.

The study was conducted by using Participatory Action Research methodology. The researcher was able to determine emergent themes.

The findings revealed that firstly, people view the Municipality's system of governance as unresponsive. This is because of lack of effective mechanisms of communication between the councillors, officials and the communities. Moreover, there is lack of delivery of services to the community, resulting in people feeling that their needs are not being addressed; therefore there being no need to participate. Secondly, there is also a general feeling that local government does not consult with the people when taking decisions on crucial matters. Thirdly, there is uncertainty about whether community inputs have any influence on decision-making. This concern was expressed in a variety of ways, including the feeling that their input did not matter because the essential decision 'appears' to have already been made before the participation process commences or ends. Fourthly, there is overwhelming evidence that there is a direct correlation between participation levels and unhappiness and dissatisfaction around the levels of service delivery of the municipality. Lastly people at the grassroots level do not have knowledge on how government structures function. This makes it difficult for them to have meaningful and effective means of participation.

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All the undesirable effects outlined above, provide a sound and compelling basis on justification for a Community Participation Policy design. While the legislation prescribing citizen and community abounds, local government authorities have remained indifferent; or they have not been visible in pursuing methods and mechanisms that foster citizen participation in project management and decision making processes.

As a result of this study, the Council has made the amendment of Section 12 of the Municipal Structures Act to ensure that eThekweni Municipality becomes a ward participatory type of municipality. Also, community participation policy has been developed to change the present situation or context that invited the problem on ineffective participation. The policy aims at changing mindsets for municipal officials so that they take the issue of involving communities more seriously.

DECLARATION

I, Vincent Mondli Mbambo, hereby declare that the dissertation entitled "**Community Participation in Local Governance: A Systemic Analysis of eThekweni Municipality's design for effectiveness**" is the result of my own investigation and research and that it has not been submitted in part or in full for any other degree or to any other University.

Vincent Mondli Mbambo

Date

15 December 2005

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DEDICATED

TO

THE MEMORY OF

**MY LATE MOM AND DAD
for being my source of inspiration**

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Chapter 1

Introduction, Background and Context

"I think local government is important because it is closest to the people. This is where we can truly live out the dictum – The People Shall Govern!"

Mayor: Councillor O Mlaba, eThekweni Municipality quoted in Delivery magazine, 2004

1. Introduction

Community Participation in Local Governance: A Systemic Analysis of eThekweni Municipality's design for effectiveness. This document is aiming at presenting the work done on the Research Project conducted from the period of March 2004 to March 2005.

The **purpose** of the research is to inform a policy development process that will encourage the participation of communities in the matters of local government. The **research question** is how effective is the organizational design eThekweni Municipality in creating an enabling environment for community participation?

2. Succinct Statement of the Research Problem

Community participation in matters of local government is an imperative in terms of the current South African legislations. Chapter 4 of the Municipal Systems Act (2000) deals with community participation in local government. The Act prescribes that municipalities must develop a culture of municipal governance that complements formal representative government with a system of participatory government. Municipalities must encourage, and create conditions for, the local community to participate in the affairs of the municipality– including the drafting of the Integrated Development Plan (IDP).¹ Municipalities must also contribute to building the capacity of the local community to enable it to participate in the affairs of the municipality, and of councillors and staff to foster community participation.

¹ Communities must also participate in the establishment of a Performance Management System, performance monitoring, the preparation of budgets, and strategic decisions relating to the provision of municipal services.

In responding to the **situation** eThekweni Municipality established the unit called Community Participation and Action Support Unit. This unit aims at providing support services to citizens in order to enable them to influence council decisions, which will lead to improved co-operation and partnership between citizens, municipal officials and the councillors. The **concern** that propelled the author to focus on this study is the lack of systemic local policies and strategies that put community participation in action. A rider to the said concern is the decision taken during the establishment of the municipality in 2000. EThekweni Municipality was established to have the collective executive committee and sub-council system². This system does not put emphasis on participatory approach. Given the above situation and the organisational design of the municipality, the research looks at the key **question** of how do changing contexts and conditions, from apartheid to democracy, influence the structures through which civil society, the subaltern social groups and the poor exercise voice in critical areas of social needs and other critical aspects? Other questions related to this are: Is the current organisational design effective? Does it allow for proper community participation in local governance? If so how do ordinary people, especially the poor, influence decision-making processes of the Municipality including policies, which in turn affect their welfare? What is the role of citizens in policy formulation processes, project management and implementation? Can citizens play their role effectively? What can the Municipality do to create and strengthen the appropriate community structures required for local governance? How can the Municipality deal with the change of mindsets so that officials can do business in new way that looks at community participation as an integral part in service delivery?

While the Community Participation and Action Support Unit has been created and is doing its utmost to deliver on the mandate, there are two problem areas that hamper proper community participation in governance matters within the Municipality. These problem areas are:

First, the mindset for municipal officials has not changed. This leads to resistance to change. Institutional processes and culture within the Municipality perpetuate obsolete bureaucratic divisions. Departmental cultures and fear of reorganization create resistance to integrating work and sharing use of systems across several Units/Departments.

² The Municipal Structures Act gives municipalities choices on what type of municipality they opt for. This system does not emphasise on participation of communities through Ward Committees.

Second, the non-existence of legitimate community structures (other essential components of the system) to ensure that communities participate effectively. This leads to the lack of co-ordination of communication between elected representatives (Councillors), administrative staff (officials) and community.

3. Metaphors relevant to eThekwini Municipality

Flood and Jackson (1991) alluded to different images or metaphors of organizations. These five metaphors capture, at a general level, the insights of almost all management and organizational theory. They are: machine metaphor, or “closed system” view; organic metaphor, or “open system” view; neurocybernetic metaphor, or “viable system” view; cultural metaphor; and political metaphor. These metaphors will be discussed in the next chapter. The organisational design for eThekwini Municipality can determine which one or more of the above metaphors best describe(s) this organization. How effective is the Municipality due to the design that has been adopted? This question will be answered when one concludes this study in the last chapter.

Community participation is an open, accountable process through which individuals and groups within communities can exchange views and influence decision-making. It is a democratic process of engaging people in thinking, deciding, planning, and playing an active part in the development and operation of services that affect their lives. A systemic analysis therefore is going to focus on the issue in question and the broad understanding of systems thinking.

4. Understanding Systems

“... in the modern systems approach, the concept “systems” is used not to refer to things in the world but to a particular way of organizing our thoughts about the world.”

Flood and Jackson (1991)

An organisation as an organism may be seen as a system when the way in which it works is being studied. A system consists of a number of interdependent subsystems that function as a whole and are aimed at a certain purpose. Public managers should view the institution as a whole, but within a bigger system, namely, the environment in which the institution itself functions as a subsystem. The institution is an open system that

continuously interacts with the environment, from which it receives inputs. These inputs are then converted to the environment as outputs.

G. van der Waldd (1999) puts it categorically clear that in the context of a government institution that there are basic elements of an open system (*Figure 1 below*).

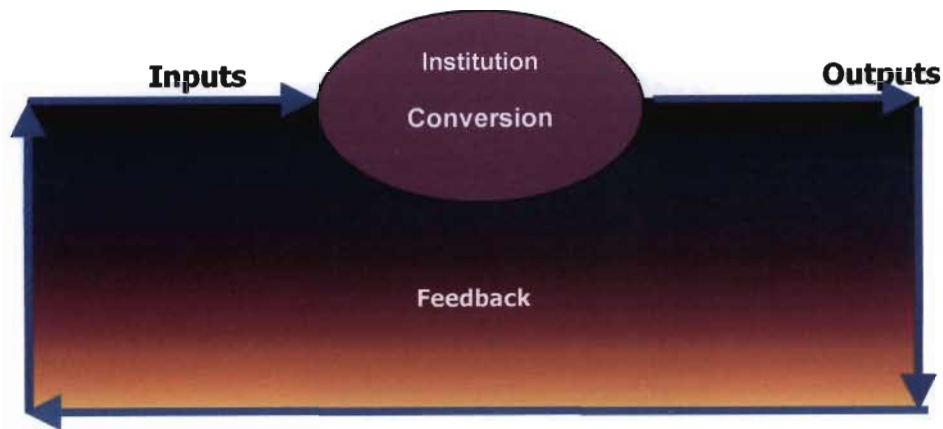


Figure 1: Basic elements of the systems approach

Source: van der Waldd (1999)

In the above illustration, an example that can be cited is the policy making process. If a need arises in the community (environment), this need is conveyed to the government in the form of an input. This input is converted within the government, it is debated, and draft legislation is drawn up. After being finally approved, the Act is promulgated and becomes official policy. This final policy is thus an output to the environment of which the community should be the most important component. Feedback from the environment is information on results or consequences of the output, and is of critical importance for the regulation and control of systems, and even for survival.

The above is the expected scenario for all government structures. But the question is: **DOES ETHEKWINI MUNICIPALITY'S DESIGN ADHERE TO THIS ORGANIC METAPHOR?** This paper will be looking into details in this. The other important understanding of systems that needs to be explored at this stage is project management system. Project Management Body of Knowledge (PMBOK) (2004) defines a project as a temporary endeavour undertaken to create a unique product, service or result. Project Management is defined as the application of knowledge, skills, tools and techniques to project activities to meet project requirements. Project management is accomplished through the application and integration of the project management processes of initiation, planning, execution and controlling, and closing. My main points of reference during discussion in different sections of this document will be the manner in which project

management system works: **DOES THE ORGANISATIONAL DESIGN ENABLE COMMUNITIES TO PLAY A MEANINGFUL ROLE?**

5. Understanding Local Government and Community Participation

Present local government policies, legislations and the regulations guiding the development of Integrated Development Plan (IDP), put great emphasis on municipalities developing a culture of community participation and the creation of appropriate and relevant community participation mechanisms; processes and procedures.

One of the objectives of local government in terms of section 152 (1) (e) of the Constitution of South Africa is to encourage the involvement of communities and community organisations in the matters of local government. The White Paper on Local Government puts forward the vision of “developmental local government” which it defines as:

“Local government committed to working with citizens and groups within the community to find sustainable ways to meet their social, economic and material needs and improve their quality of lives”.

The vehicle and system for involving the public is given more emphasis in Section 16 of the Municipal Systems Act, 2000 which requires that municipalities develop a culture of community participation and create mechanisms, processes and procedures. These mechanisms would involve communities in planning, performance management, budgeting, and service delivery.

Municipalities are also required to build the capacity of the local community to participate, as well as the capacity of councillors and staff to foster community participation. Emphasis is placed on ensuring representativity in terms of age, gender, race and disability, as well as reaching those previously excluded from formal local government structures.

6. Background and Context

On the 5th of December 2000 South Africans voted during local government elections. EThekweni Municipality's Council then came into existence. The Municipality was established in terms of the Section 8 of the Municipal Structures Act, which gives eight (8) types of *category A* municipalities. Among these types I have extracted four types because they allude to collective executive committee system³

- a. a municipality with a collective executive system;
- b. a municipality with a collective executive system combined with a sub-council participatory system;
- c. a municipality with a collective executive system combined with a ward participatory system;
- d. a municipality with a collective executive system combined with both a sub-council and a ward participatory system.

EThekweni Municipality opted for *b* above. However it has always functioned as if it opted for *a*. Within the five-year term, the Municipality could not establish sub-councils. The conduction of this research has influenced and caused the Municipality to amend or change its establishment status to *c* above.

The first strategic move taken by eThekweni Municipality in 2001 was to hold a planning session that gave birth to the city's Long Term Development Framework (LTDF). In terms of the Long Term Development Framework, the Vision of eThekweni Municipality is stated as follows:

"By 2020, eThekweni Municipality will enjoy the reputation of being Africa's most caring and livable city, where all citizens live in harmony. This Vision will be achieved by growing its economy and meeting people's needs so that all citizens enjoy a high quality of life with equal opportunities, in a city that they are truly proud of."

And the Purpose Statement is as follows:

³ The four types left out deal with executive mayoral system. This system is not applicable for eThekweni Municipality

"The purpose of the eThekweni Municipality is to facilitate and ensure the provision of infrastructure, services and support, thereby creating an enabling environment for all citizens to utilize their full potential and access opportunities, which enable them to contribute towards a vibrant and sustainable economy with full employment, and thus create a better life for all."

The city's 2020 vision and its purpose statement deal with community participation not as an add-on, but as a fundamental new way of doing business.

The Municipal Systems Act promulgates that local government should no longer only play a role of being a dispenser of services to the people. The new characteristic of local government is that one which is referred to as **developmental local government**. At the centre of this paradigm shift is the assurance of community participation. This has led to the organisational redesign of the Municipality that seeks to comply with legislative requirements.

7. eThekweni Municipality's institutional response

In response to legislative mandate, this organisation has established the new Unit or Department that is responsible for ensuring community participation in all Council issues and processes. This unit is located within one of the six clusters of the municipality. **Figure 2 (overleaf)** is a broad illustration of all clusters that the municipality has.

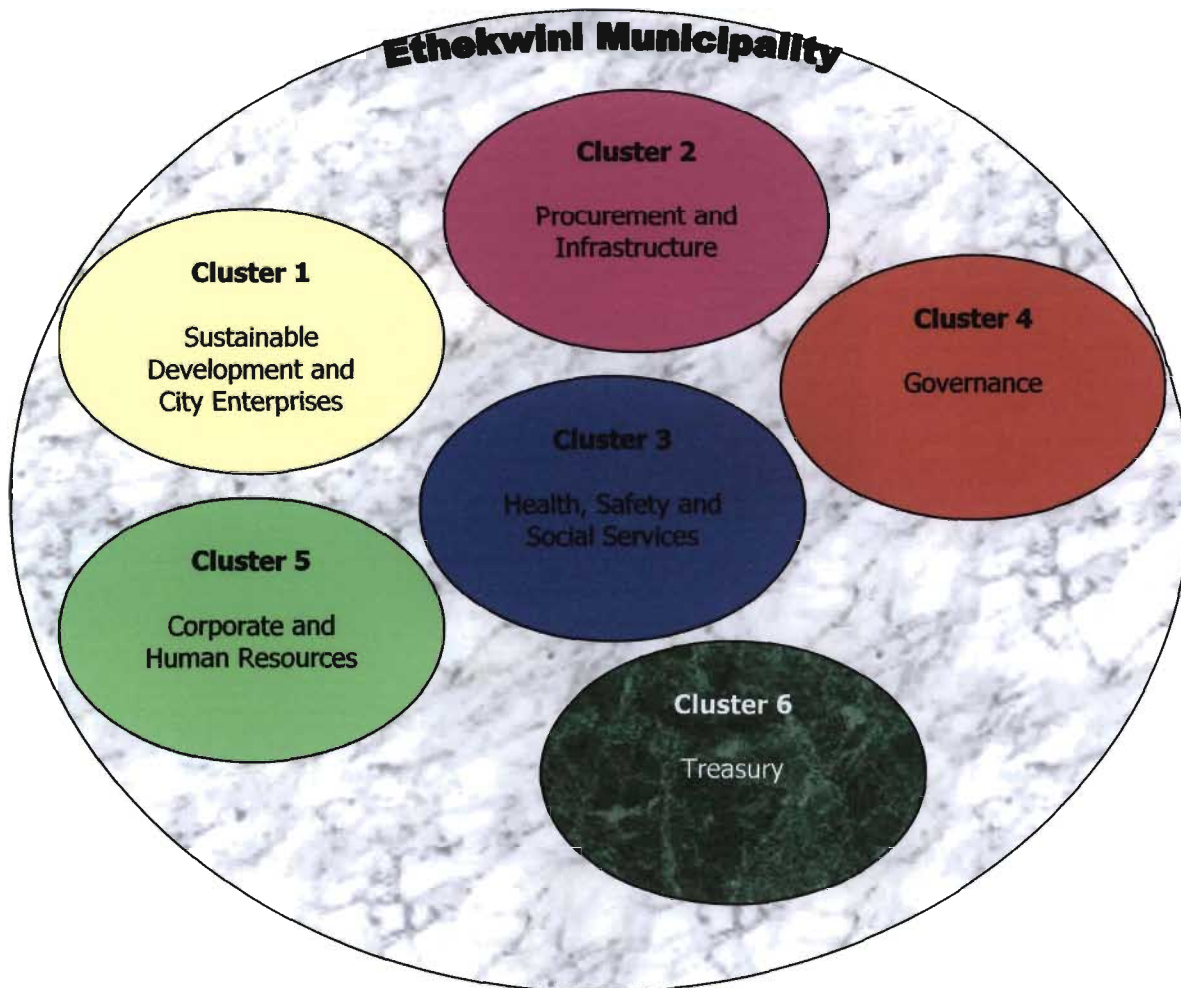


Figure 2: eThekweni Municipality's Clusters

Source: Adapted from the City's approved Organogram (2002)

Under each cluster there are a number of units. **Figure 3** (*overleaf*) shows all units found in each cluster. It must be stated though that not all units fall under clusters. There are those units reporting direct to the Office of the Municipal Manager.

The Unit created to ensure that communities participate is Community Participation and Action Support Unit. It is located under Governance cluster. According to Bawden (1998), every (formal) system is composed of other interconnected (lower order) systems (called subsystems) while it itself is a sub-system of and thus interconnected to a (higher order) system (called a suprasystem). Refer to **figure 4** (*overleaf*). In this case Community Participation and Action Support Unit is a sub-system within Governance cluster which is a system falling under eThekweni Municipality which is a supra system.

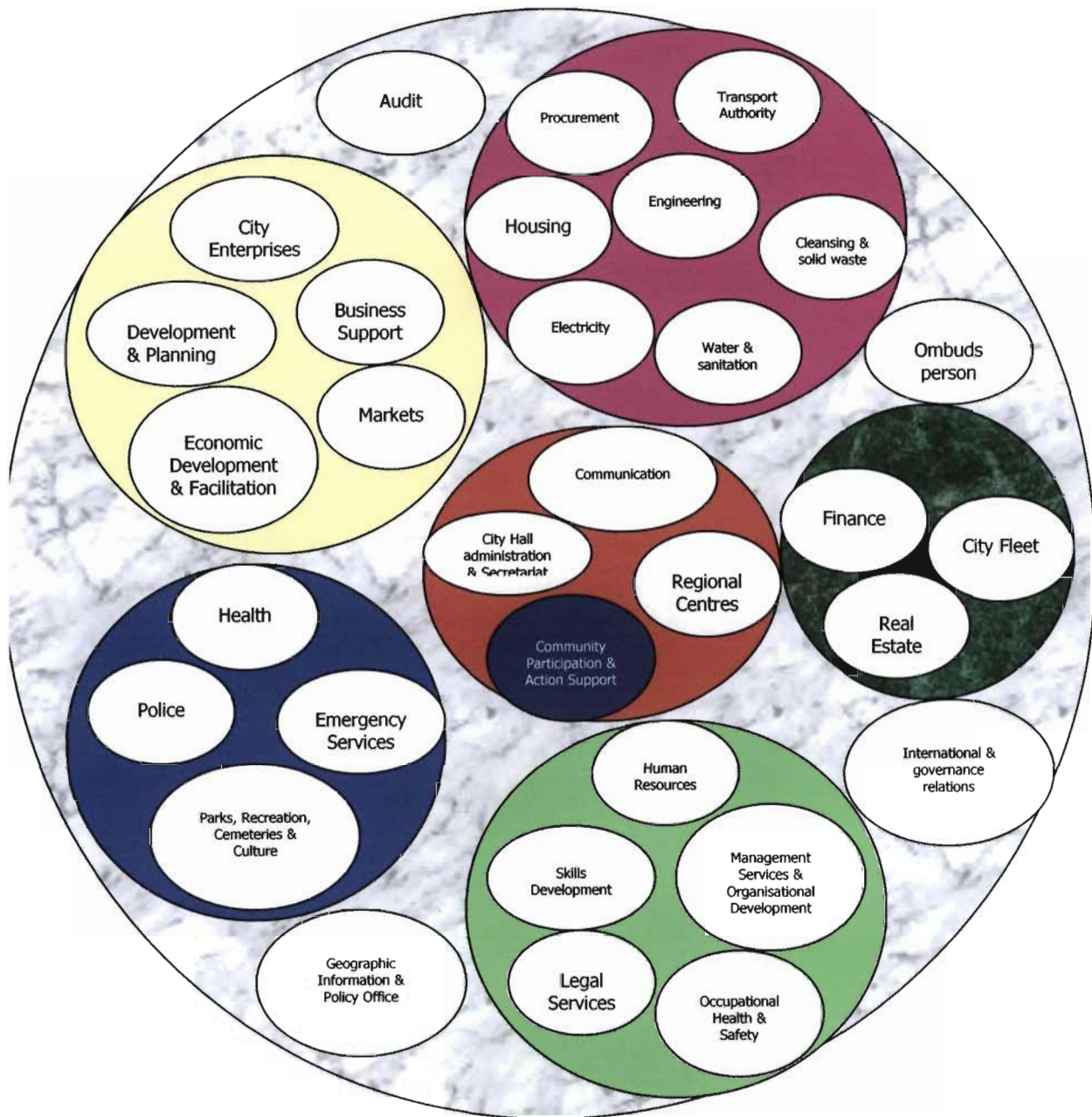


Figure 3: eThekweni Municipality's units and clusters

Source: Adapted from the City's Organogram (2002)



Figure 4: A close systemic look on organisational structure

Source: Adapted from Bawden (1998) – a system of systems

8. Exploration of Key Concepts

Even though the second chapter of this document is going to deal with literature review in detail, it is necessary to explore key concepts used in this research. I am therefore going to unpack what is meant by concepts like: system; local governance and citizens participation.

8.1. System

There are two schools of thought that look at the conceptualisation of systems differently. In mechanistic thinking a "system" is an aggregate of parts in which the whole is equal to the sum of the parts. In systems thinking, a "system" is a complex and highly interlinked network of parts exhibiting synergistic properties – the whole is greater than the sum of its parts (Flood & Jackson, 1991:4).

8.2. Local Governance

Local governance refers to a sphere of decision-making that has been *decentralised* from the central state apparatus. There are three types of decentralisation: devolution, de-concentration and privatisation (Turner, 1997). The theoretical orientation of this research work is more preoccupied with local democratic governance where significant authority is manifestly devolved to local level where the citizenry can hold the authorities accountable. In this perspective, local governance is viewed as being at better position to democratise. This is because of its proximity to groups at community level (Beetham, 1996:28-49). It views citizens' role in local governance from the logic of *representative* democracy, as citizens participate in and contribute to achieving greater equity and poverty reduction through electing more representative and accountable residents into local government (Blair, 2000:21-39).

8.3. Citizens Participation

This new approach regards citizen participation as both a right and as a domain of action, which not only exceeds the traditional bounds between the state and civil society, but also compels reconceptualisation of governance. Citizens are involved with local authorities in the paradox of representative and participatory democracy. Rules and mechanisms for this

direct reticulation need to be established, in order for new relationships of faith and cooperation to develop, especially if segments of society are to be included which have historically been denied access to the public policy domain (Fung & Wright, 2001: 29ff).

9. Rationale behind the topic chosen

The inspiration to conduct this study comes from my own experiences with regards to matters of governance and community participation. I came to decide on this topic because of my daily interactions with communities since I am working in Community Participation and Action Support Unit of eThekweni Municipality. Since this unit was created in 2002, it is faced with a mammoth task of putting together proper systems in place to ensure that citizens participate in debates and decision-making processes of the Municipality. My key role has been that of ensuring that such systems are in place. The research topic for me therefore serves two purposes. Firstly, it is very much related to what I am doing at workplace. After the conduction of the research, findings have helped me in improving my work. Secondly, it is part of my academic work towards the completion of my Masters Degree.

As a practitioner in the field of community participation, I have observed and heard that communities are not satisfied with the current system of governance. The system does not give them proper channels to participate effectively. There is quite a number of projects that seek to improve the quality of life for citizens but citizens are not involved in the process of deciding and budgeting for such projects. These citizens are by law expected to participate in all issues including programmes and projects.

The last reason why I chose this topic is my passion with systems thinking which advocates that all subsystems within the larger system are more productive in their totality through cooperation and coordination than when each one operates in isolation. This is what is called **synergy**. It is of great interest for me to systematically analyse the design of my organization if it complies with this or not.

Thus, once the parts (subsystem) of the system fail to meet the above, then the problem emerges. Systems thinking and project management will form my frame of reference and basis for my analysis.

10. The organisation of this document

This document is made up seven (7) chapters. The second chapter looks at **Literature Review**. There are two sets of literatures discussed in this chapter. The first set of literature is about systems thinking. The second set of literature focuses on community participation and governance.

The third chapter is talks about the **Research Design**. This research has been done through the combination of Participatory Action Research, Critical Systems Heuristics and Empirical Research methodologies.

The fourth chapter looks at the **Presentation and Discussion of data**. It is in this chapter where findings of the research are collated presented.

Analysis of findings will be done in two consecutive chapters. The fifth chapter deals with **Systemic Organisational Analysis**.

the first recommendation of having **Community Participation Policy** in place.

Discussion of Findings will be done on the sixth chapter. This chapter will also put recommendations forward.

The seventh chapter **concludes the study** by summarising all the work that has been presented in this document, indicating some limitation and implications of findings.

11. Conclusion

What has been presented in this chapter is the introduction to the series of chapters contained in this research work. It can be stated therefore that this chapter serves as a scope for this research.

Chapter 2

Literature Review

1. Introduction

This chapter reviews two sets of literatures. The first set looks at systems thinking in detail. The second set of literature focuses on issues of participation and governance. It is necessary to point out that other literatures will be discussed as and when necessary so as to fulfil the purpose of this research work. Project management is one of these literatures that will also be added in this chapter.

2. Systems Thinking

The word system crops up over and over again in all sorts of situations ranging from really casual conversations about transport systems or pension systems or even management information systems, through to highly specific references to particular, formal systems which are being discussed by systems researchers or systems analysts or systemic development professionals (Bawden, 1998). According to Bawden, many systems have recognisable inputs and outputs, and identifiable processes through which the former are transformed into the latter, while some systems are able to transform themselves into different systems altogether. According to Capra (1996), systems thinking was pioneered by biologists, who emphasised the view of living organisms as integrated wholes. In summarising the key characteristics of systems thinking as Capra puts it in general terms, is the shift from the parts to the whole. Also is the ability to shift one's attention back and forth between systems levels. The system identified by a boundary will have inputs and outputs which may be physical or abstract. The system does the work of transforming inputs into outputs, The processes in the system are characterised by feedback, whereby the behaviour of one element may feed back, either directly form another element by way of their relationship, or indirectly via a series of connected elements, to influence the element that initiated the behaviour (Flood & Jackson, 1991:5).

2.1. Systems Theoretical Breakthrough

Systems thinking is the shift from the parts to the whole. The development of systems thinking moved from mechanistic thinking to systems thinking. Mechanistic thinking adheres to analysis and reductionism, claiming that all objects and events, and their properties, can be understood in terms of ultimate elements. This leads to the view that the Universe is constructed of building blocks arranged in a hierarchy, making up a giant machine (Flood & Jackson, 1991:3).

The failure of mechanistic thinking gave rise to the systems thinking which served as an acceptable response to explain biological phenomena. I now move my review to look at some theories around systems thinking.

2.1.1. Barnard's Systems Thinking

In 1938 Chester Barnard produced one of the earliest systems accounts of the nature of organisations called *The Functions of the Executive*. He believed his thinking was relevant to all forms and types of organisation. His aim was to discover features common to executive functions in all organisations. What was significant was that he attempted to consider what kind of systems organisations were actually like, and then derived from this analysis conclusion about what executives needed to do to manage them properly (to keep them in equilibrium) (Jackson, 1991:43).

Barnard reasoned that organisations were "cooperative systems". When an individual tries to do something, he or she is subject to strict physical and biological constraints that determine what is possible to achieve. In order to realise major tasks, therefore, individuals have to cooperate, and this gives rise to the birth of co-operative systems. Barnard argues by saying co-operative systems will persist as long as they are effective and efficient. He links effectiveness to the success of the organisation in accomplishing its purpose. Efficiency relates to the need to provide, to individuals who co-operate, a surplus of satisfactions over dissatisfactions. Effectiveness and efficiency are achieved through the interactions among people as managed by both the formal and informal structures of the enterprise.

2.1.2. Sociological Systems Theory

According to Flood & Jackson (1991), the central figures who developed sociological systems theory as an analogy were Spencer in 1969 and Durkheim in 1933. Both saw social systems as made up of mutually dependent elements functioning in ways that contributed to the maintenance of the whole. Social institutions function to serve the needs of a society for survival (Jackson, 1991). Another work worth mentioning is what Selznick (as cited in Jackson, 1991) did when he analysed what organisations were like. To him it appeared that many of the adjustments made by organisations, in response to both internal and external determinants, took place independently of the consciousness of the individuals involved. Organisations were acting like organisms; reacting to influences upon them in ways best designed to ensure their own survival.

Functional Imperatives (AGIL)

In analyzing all elements of an organization, Parsons and Smelster (as cited in Jackson, 1991), alluded to four functional imperatives that must be adequately fulfilled for a system by its subsystems if that system is to continue to exist. The first letters of these four imperatives – adaptation, goal attainment, integration, and latency (pattern maintenance) – make up the well-known AGIL mnemonic. According to Jackson (1991), the meaning of the terms that make up AGIL is as follows:

- A** = adaptation – the system has to establish relationships between itself and its external environment.
- G** = goal attainment – goals have to be defined and resources mobilised and managed in pursuit of these goals.
- I** = integration – the system has to have a means of coordinating its efforts.
- L** = latency (or pattern maintenance) – the first three requisites for organisational survival have to be solved with the minimum of strain and tension by ensuring that organisational “actors” are motivated to act in the appropriate manner.

2.1.3. Contingency Theory

Based upon the theoretical breakthroughs discussed earlier, Contingency Theory views organisations as consisting of a series of interdependent subsystems, each of which has a

function to perform within the context of the organisation as a whole, Kast and Rosenzweig (as cited in Jackson, 1991). Contingency theorists are not in complete agreement as to which subsystems should be singled out as critical. Contingency theory assumes that each of the subsystems is open to a range of variation. Each should be designed so that it is congruent with the others and corresponds to the environment with which it is faced. This theory rests upon the open view that regards the organisation as dependent upon the wider environment (Jackson, 1991).

Sociotechnical Systems Theory

Sociotechnical systems theory sees organisations as pursuing primary tasks that can best be realised if their social, technological, and economic dimensions are jointly optimised, and if they are treated as open systems and fitted into their environment (Jackson, 1991).

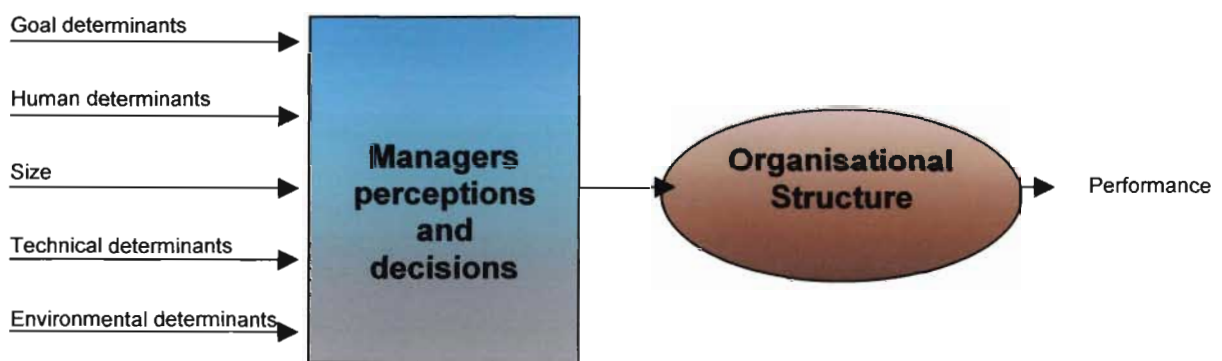


Figure 1: The Contingency Theory Perspective

Source: Adapted from Jackson (1991)

This theory advocates that organisations should be regarded as interdependent sociotechnical systems. According to Jackson, 1991 organisations have interactive technological and social aspects, and in designing the structure of the group or organisation both of these should be considered. If the structure of the work organisation is designed with only the technology in mind, then it may be disruptive of the social system and not achieve maximum efficiency.

2.1.4. Process Thinking

Systems thinking is always process thinking. In the mechanistic framework of Cartesian science, there are fundamental structures, and then there are forces and mechanisms

through which these interact, thus giving rise to processes. In systems science, every structure is seen as the manifestation of underlying processes (Checkland, 1999:42).

2.1.5. General Systems

Boulding's paper of 1956, 'General Systems Theory – the Skeleton of Science' is very well known, and is a frequent starting point for discussion of systems ideas. When introducing the idea of General Systems Theory, Boulding argues that its concern is not with a single self-contained 'general theory of practically everything' since we pay for generally by sacrificing content, and 'all we can say about practically everything is almost nothing' (Checkland, 1999: 103).

2.2. Systemic Metaphors

Organisations can be studied and be branded with a particular metaphor that best describes the nature of such organisation. There are five metaphors which are called 'systemic' metaphors because each one amounts to some kind of complex interactive network, whether it be for a system of functional units or a system of social rules and practices (Flood & Jackson, 1991). These metaphors are:

- Machine metaphor, or "closed system" view;
- Organic metaphor, or "open system" view;
- Neurocybernetic metaphor, or "viable system" view;
- Cultural metaphor; and
- Political metaphor.

2.2.1. Machine Metaphor or "Closed System View

This metaphor represents a view that organisations are just like machines. Much emphasis is placed on the efficiency of the parts. The machine operates in a routine and repetitive fashion and performs predetermined sets of activities, seeking the rational and efficient means of reaching present goals and objectives (Flood & Jackson, 1991).

2.2.2. Organic Metaphor or “Open System” View

The organic metaphor holds to the idea of a system as a complex network of elements and relationships that interact forming highly organised feedback loops, existing in an environment from which it draws input and to which it dispenses outputs.

2.2.3. Neurocybernetic Metaphor or “Viable System” View

This metaphor emphasises active learning and control rather than the passive adaptability that characterises the “open system” view. The neurocybernetic view looks at the brain as a well-tired and tested control system that depends upon an ability to communicate and learn. The neurocybernetic view adds to the importance of “learning to learn” (i.e. accepting dynamic rather than static aims and objectives, and self-questioning rather than merely self-regulating).

2.2.4. Culture Metaphor

This metaphor can be understood as the often unspoken but familiar ways of thinking and acting that exist in all firms and enterprises. A culture refers to various nebulous, shared characteristics at all levels of organisation: societal, corporate, group, etc. Culture can act as a conservative restraining force or can generate innovation.

2.2.5. Political Metaphor

Political metaphor looks at relationships between individuals and groups as competitive and involving the pursuit of power. This metaphor highlights all organisational activities as interest based and emphasises the key role of power in determining political outcomes, thus it places power at the centre of all organisational analysis.

2.3. Synergy

All subsystems within the larger system are more productive in their totality through cooperation and coordination than when each one operates in isolation. This is what is called **synergy**. Peter Checkland (1999) saw systems thinking as a sense-making process that is based on (among others) the basic idea of emergence. As he puts it:

Emergence: the meaningful properties of a system are emergent in that they are properties of the whole and not the parts that make up the system. They are products of the interactions between the parts.

Thus, once the parts (subsystem) of the system fail to meet the above, then the problem emerges.

2.4. Holism versus Reductionism

According to Bawden (1998), holism represents the belief position that whole entities are different from the sum of their parts. Directors and line managers do not look at the problem as whole. Recent theories have led to a discovery that the problem may also be viewed as a holistic. Holism (which is a communitarian perspective) embraces interconnectedness. It is particularly useful for pointing out how systems can be seen on many levels; as ecosystems, species, groups, various entities in dependent relationships, or even as universals. These systems are not simply an agglomeration of individuals sharing common properties or common rights. Indeed, proponents of holism assign moral rights to species and ecosystem and not just individuals within these. Species and ecosystems are seen to have enough unity and self-interest to have a morally significant claim. Capra (1996) alludes to deep ecology which is an example of radical holism, and its supporters assert intrinsic moral rights to theory. Vitalism and organicism are also opposed to the reductionism.

In contrast, reductionism which Bawden (1998) says it represents the position that whole entities are nothing but the sum of their parts and therefore can be studied through a process which reduces the whole down to its component parts which in turn can be studied in isolation both from other parts and from the original whole entity. This ontology is often seen as the opposite of holism.

This type of worldview (reductionism) relies on specialisation where it is assumed that work on one part of a system can be made in isolation from the rest of the system.

3. Community Participation

Community participation in development can be defined as the involvement of members of a community in development activities in the community in order to try to influence the outcomes of those activities and obtain as many benefits as possible from the results of those activities (Cloete, Wissink & de Coning, 2005).

3.1. Participation

The United Nations Development Programme (UNDP) (1981:5) associates itself with the following definition:

Popular participation entails the creation of opportunities that enable all members of a community and the larger society to actively contribute to and influence the development process and to share equitably in the fruits of development.

In the specific context of citizen participation in processes of policy-making or political decision-making, the continuum can be elaborated to show what forms information sharing, consultation, joint decision-making, and initiation and control by stakeholders might assume in that particular context (McGee with Norton, 2000). For my purposes, it is enough to note two points. Firstly, what is referred to as 'participation' sometimes consists of no more than the provision of information from one actor to others, with the latter referred to as 'participants', and often consists of one actor consulting others on their views without any obligation to incorporate the views expressed. Secondly, the power relations between 'participants' or stakeholders and the politically transformative potential of their interaction differ considerably between one level of intensity and another. The increasing use of 'participation' and 'participatory' in describing models of democracy therefore requires an examination of the notion of 'political participation' and its relationship, if any, with the notion of citizen participation.

3.2. Conceptualising Participation

The World Bank, in its oft-quoted participation sourcebook, defines participation as: 'A process through which stakeholders influence and share control over development



initiatives and the decisions and resources which affect them' (quoted in World Bank Participation Sourcebook: 1996:3).

Stiefel and Wolfe, in a very influential work brought out in the 1970's, defined participation as ' the organised efforts to increase control over resources and regulative institutions in given situations, on the part of groups and movements hitherto excluded from such control' (quoted in Gaventa and Valderrama: 1999:2).

The two perspectives quoted above represent perspectives on participation that have common themes but which differ from each other in very significant aspects. For the World Bank participation are about reducing project costs throughout the full project cycle and encouraging citizen action outside the public sphere, while for Stiefel and Wolfe participation raises quite fundamental questions about control over decision-making processes.

Why and how citizens participate?

In defining the ways in which citizens participate, many writers make a distinction between political participation on the one hand, and social and project participation, on the other (Gaventa and Valderrama; 1999 and Houtzager et al: 2003). *Figure 2* below captures the way in which conceptions of the relationship between citizenship and participation has shifted over the last decade or so.

A shift in participation		
From		To
Beneficiary	→	Empowered Citizenship
Project	→	Policy
Consultation	→	Real decision- making
Needs assessment	→	Implementation & monitoring

Figure 2: Shift in Participation

Source: CASP report

3.3. Citizen participation in local governance

A number of writers have pointed out that a key factor in the global emphasis on increasing the participation of citizens in local governance is the recognition of the growing crisis of legitimacy that presently characterises the relationship between citizens and the (state) institutions that play such an important role in their everyday lives (Cornwall and Gaventa: 2001:1; Tandon: 2000:1; Michels: 2003;). As Tandon points out, in India this situation has led to citizens becoming mistrustful of public institutions and government agencies while at the same time developing an apathetic attitude towards governance which in turn is resulting in increasing levels of dependency on the state for their welfare (Tandon:2000:1). However, a groundbreaking study of citizen attitudes towards participation in 47 Commonwealth countries has also discovered that while there is indeed a growing process of alienation and disaffection between citizens and their representative institutions, there is a simultaneous and almost paradoxical demand by citizens in these countries that they be treated neither as beneficiaries of government program and schemes, nor as voters occasionally electing their representatives – but as citizens.

This crisis of legitimacy of traditional forms of governance holds for all three levels of governance but has led particularly to a rash of new thinking of how to deal with this issue at the level of local governance in particular. Why is local governance identified as the key arena to develop new thinking around citizen participation? To understand that we need to conceive local government in relation to three key organising concepts – that of democracy, governance and democratic decentralisation

3.3.1. Governance

In general terms the notion of governance refers to a concept which is broader than the narrow term of government and refers to the whole variety of governmental institutions and non governmental (civil society, private sector and public sphere institutions) and the interactions between them that make up the process of governing. Hirst defines governance as ' the means by which an activity or ensemble of activities is controlled or directed, such that it delivers an acceptable range of outcomes according to some established social standard' (Hirst: 2000:24, quoted in Somerville: 2003:1).

Central to the concept of governance is the notion of power and how it is distributed throughout the formal political system and society as a whole- a process that therefore encompasses the entire process whereby political, social and economic power is configured and distributed across the social field and how the power relations that emanate there is managed.

3.3.2. Decentralisation:

Decentralisation refers to the process in which authority and responsibility for public functions are transferred from central government to subordinate levels of government. Local governance therefore is a form of decentralisation in which certain clearly delineated and specified responsibilities for decision making has been decentralised from central government. Turner; 1996; Johnson and Minis: 1994:5, identify three forms of decentralisation- devolution, deconcentration, and privatisation. Conyers (1990, cited in Nierras *et al.* 2002:15) defines decentralisation 'the transfer of power and/or authority to plan, make decisions and/or manage public functions from a higher level of government to a lower one'. Democratic decentralisation also refers to situations where the local authorities in question are democratically elected and wholly or largely independent of central government (Manor 1997, cited in Nierras *et al.* 2002: 15).

In this regard Johnson and Minis (1994:5) lists issues such as greater levels of accountability, problem solving, citizen participation and access to decision- making at a local level as the key benefits of decentralisation.

However, in my review I follow the definition of Blair (2002) that describes democratic decentralised local governance as that of a situation where 'meaningful authority is devolved to local units of governance that are accessible and accountable to the local citizenry, who enjoy full political rights and liberty'.

3.3.3. Direct Democracy

In terms of the relationship between citizens and the local state, direct democracy could give the space for traditionally excluded groups to gain access to the state and to make decisions affecting their lives- decisions that would normally be made by their political representative.

Direct democracy increases the control citizens have over government (Abers, 2000: 5) and is as such often considered the purest form of democracy. There is very little evidence if at all of examples throughout the world where such 'pure' forms of direct democracy exist.

Cornwall and Gaventa (2001) argue that creative applications of the principles of direct democracy can allow more direct forms of democratic engagement between citizens and local authorities and critically, entails the conceptualisation of citizenship in very different ways to the norm- where citizens become 'makers and shapers'.

3.3.4. Representative Democracy

This type of democracy is often contrasted with direct democracy. Representative democracy and its many variants is the most favoured form of democracy at a local level. It is defined as 'the form of government in which legislation is enacted by representatives who are elected by the citizenry'. In contrast to direct democracy, the majority delegate power to a minority nominated to act in their interest. The minority is mandated to do this either in response to the majority's express wishes or according to the representatives' own judgement.

Representative democracy is thus an indirect way for citizens to exert power, and their satisfaction with it will depend on the effectiveness, probity and degree of accountability of the representatives chosen. The reliance on selection of representatives by majority election means that even with low levels of citizens' involvement in the only activity open to them, the electoral process, and this model satisfies its—rather restricted—purpose.

3.3.5. Participatory Democracy

Participatory democracy is used more as a way of going about direct democracy, rather than a third variant of democracy. Each form—direct and participatory—implies participation. Some writers recognize that the distinction between them 'is an overlapping distinction continually in transition in societal praxis. Direct and participatory democracy both concern non-elected citizens' involvement in decision-making, or their participation in decision-making processes outside the main elected local government institutions.

Participatory democracy, as well as breaking this mould, can offer scope for fundamentally redressing these inequities through the participatory and deliberative process itself. Cornwall and Gaventa (2001: 32) centre their definition of participatory democracy on poor people exercising voice 'through new forms of inclusion, consultation and/or mobilization designed to inform and to influence larger institutions and policies'.

Fung and Wright (2001: 6–7) argue for **empowered participatory democracy** which they define as 'the redesigning of democratic institutions so as to incorporate innovations that elicit the energy and influence of ordinary people, often drawn from the lowest strata of society in the solution of problems that plague them'.

Entangled in these definitions above is the concept of 'deliberation' as a mechanism that enriches participatory democracy. The promotion of deliberation arises from concerns both with citizens' rights to participate and with what democracy can do for people, as well as what people can do for democracy.

3.3.6. Deliberative Democracy

Deliberate democracy emphasizes 'eliciting broad public participation in a process which provides citizens an opportunity to consider the issues, weigh alternatives, and express a judgement about which policy or candidate is preferred. It is distinguished from ordinary, thin modes of public involvement by the breadth and quality of participation'.

In arguing that deliberative participation moves beyond tokenistic notions of participation, Fung and Wright (2001: 6–7) define deliberation as the instituting of 'reason-based decision-making'. Abers' assertions (2000: 5–6) that 'participatory forums provide an environment in which people can gain skills, knowledge and organizing capabilities that help them both to control the state more effectively and to respond to problems themselves without the state's interference', and that participation can foster 'social consciousness and political community', also resonate with these notions of deliberation.

4. The Debate Around Citizen Participation, Local Governance and Service Delivery

The relationship between citizen participation and the service delivery record (or perceptions thereof) is a critical theme in the literature. A study conducted for the World Bank in 23 countries found that when ranked by poor people in terms of perceptions of their effectiveness, public service delivery institutions were ranked as 90% ineffective by rural citizens while in urban areas they were ranked at 80% ineffective (Goetz and Gaventa:2001: 2). When the research was extended to other socio-economic categories of citizens it was found that the major point of dissatisfaction related to issues of a lack of voice from the side of citizens and low levels of accountability on the side of the state delivery agents.

As Goetz and Gaventa (2001) point out, perceptions, interpretations and the lived practice of citizenship of people largely determines how citizens participate and also the way in which citizens struggle to compel that state to provide the services they are legally obliged to. Because service provision is still largely determined on the basis of the social and constitutional right of citizens to them – and not by virtue of them as market driven buyers of services- the extent to which citizen participation activities will engender improved service delivery depends both on the accountability levels and mechanisms of the (local) state as well as the organised level of voice of the citizenry. In other words, the more accountable the local state is and the more organised and capacitated the citizenry is, the higher the level of service delivery.

The key theme in the literature on this theme is one of an ongoing process of contestation and tension between its implications for citizen participation at a local level. The key underlying tension is one that tends to dichotomise service delivery as a primary but largely technical driven function of local authorities and the need for a genuine commitment to real citizen participation in the process. Smith and Vawda (2003:2) argue that the way many local governments in South Africa have restructured themselves on the principles of developmental local government gives important insights to how they understand the relationship between citizen participation and service delivery. Echoing the arguments of Needham (2003) Smith and Vawda (2003) contend that the way in which local authorities conceptualise citizenship at a local level is central to the debate. In this sense the traditional concepts of citizenship has been redefined to the degree where

citizens now become 'customers' – a process of commodification of essential services through and increased focus on their delivery as marketable products rather than as public goods.(Smith and Vawda: 2003:13). This conception of citizens as individuated, disaggregated buyers and consumers of services "based on an adaptation of the liberal principles of citizenship is contrasted with the civic republican notions of citizenship that lays greater emphasis on building a collective orientation of citizenship premised on active, collective and individual civil engagement".

Needham (2003) however, fundamentally disputes aspects of the views of Smith and Vawda by arguing that the metamorphosis of the citizen into a consumer or customer of local government services is not new and has been a part of the broader debate of local government restructuring in the North for at least a decade and more. Needham argues that in the North this has led to a situation of the misleading dichotomisation of the notions of citizen and customer based on narrow and single model conceptions of citizenship. Needham concludes her argument by stating that while many local authorities in the North and South have adopted the 'citizen as consumer' model there is very little understanding of what this means in real terms – particularly in relation to the reality of overwhelming poverty and social deprivation in most of the cities of the South.

Goetz and Gaventa (2001), quoting from the report of a major and groundbreaking study of the relationship between citizen voice, client voice and service delivery, that sums up the situation in developing countries as such: ' From the perspective of poor people world wide, there is a crisis in governance... State institutions, whether represented by central ministries or local governments are often neither responsive nor accountable to the poor- rather poor people are treated with disdain and arrogance...(Goetz and Gaventa: 2001:2, quoting from Narayan et al 2000:172). They argue that for the importance of citizen engagement with local government service providers to move beyond mere consultation to real influence where citizens enjoy more meaningful forms of participation – examples of which could be formal recognition of citizen associations and groups by the local authority, an affirmation and active assertion of their rights to information about local government decision-making and budgetary allocation and spending, and the right to seek redress for poor quality service delivery.

Cornwall and Gaventa (2001) in asking questions about the way poor people in particular can influence the quality of service delivery at a local level, argue for a conception that

mediates between the often dichotomous notions of citizens as passive recipients of state programmes and that of market led conceptions that focus on citizens as clients and consumers who participate by exercising their market driven choice over a range of services offered by local authorities.

Here Cornwall and Gaventa echo Smith and Vawda in arguing that the way the relationship between citizenship participation and service delivery is conceptualised at local government level raises fundamental questions about the nature, meaning and content of citizenship.

5. South African Legislation frameworks driving community participation

It should be clear by now that the attempts of civil society to open up new spaces in which citizens can engage directly in decision making as well as the effectiveness of many citizen participation strategies and methods largely depends on the position taken by the state. States, and in the context of this literature the local state, can openly discourage and even suppress citizens' initiatives to gain greater participation in local governance; tolerate them or actively promote more participatory forms of local governance. In this section of the literature review I will examine briefly some of the legislative and other frameworks employed across the world in either encouraging or discouraging genuine citizen participation.

In South Africa community participation is enforced and shaped by the Constitution supported by other pieces of legislation. The Constitution states: "local government must encourage the involvement of communities, community organisations in matters of government" (The Constitution Act 108 of 1996:81). The crux of the matter to which the Constitution of South Africa has been trying to respond to is in dealing with the legacies of the past such as colonialism and apartheid that excluded South African community in any form of decision-making and institutional activities, hence the self-worth, self-reliance and self-esteem of the majority population was eroded. These problems and legacies of the past have fundamentally damaged the spatial, social and economic environments, in which people live, work, raise families and seek to fulfil their aspirations. (White Paper on Local Government, 1998)

The *White Paper on Local Government* states that new developmental local government (DLG) must commit itself to working with citizens, groups and communities to create sustainable human settlements, which provide a decent quality of life and which meet the social, economic and material needs of communities in a holistic way. Developmental local government challenges the old technocratic way of planning which was excluding people from planning. DLG has given a chance for the establishment of a holistic system at the municipal level that is integrated across sectors and between layers of government, that is accountable and oriented towards addressing the needs of all its citizens. Although public participation has newness, however it generates mechanisms that can capacitate the public on what it means to participate in decision-making. Participation can play an important part in the city's economic development provided city managers are prepared to allow different structures/institutions from various spectrums of human development. Therefore, through participation local government has a critical role to play in "...rebuilding local communities and environments, as the basis for a democratic, integrated, prosperous and truly non-racial society" (White Paper on Local Government, 1998).

The *Reconstruction and Development Programme* states that: "...the empowerment of institutions of civil society is the fundamental aim of the government's approach to building national consensus. Through this process the government was aiming to draw on the creative energy of communities. Structured processes at all levels of government were introduced to ensure participation in policy making and planning, as well as project implementation". Consequently, all spheres of government adopted the common goal of empowering through participatory development processes to both redress past injustices and build proud self-reliant and self-sustaining communities. At these levels participation promotes sustainability and replication, reduces projects costs, and takes advantage of local practices and technologies that are suited for the environment or local human capacities (Policy Document on Social Empowerment and Community Development through Community Participation, May 1998)

To enhance public participation the *Municipal Structures Act*, enacted in 1998, encourages the establishment of ward committees with an aim of deepening democracy and developing the culture of participation among community members. This task is mandated to the local municipalities and metropolitan councils. It is overemphasised that within those ward committees women should be equitably represented together with the

diversity of interest in that ward. According to this legislation the municipalities are supposed to make administrative arrangements to enable the ward committees to perform their duties and exercise their functions effectively.

There are numerous debates levelled against these ward committees which include the fact that the number of people in those committees should not exceed 10. That on its own gives a problem in the functioning of these wards because they are too vast and there are a number of different interests that need to be represented. There is therefore no guarantee of deepening democracy through the formation of these ward committees. In such instances that have caused some tensions because those existing structures saw the wards committees as trying to undermine their functioning. Some of these structures are informed by certain social origin.

Also worth noting in regard to *Municipal Structures Act of 1998* is the provision for the participation of traditional authorities that observe a system of customary law in the area of the municipality. The act allows for the participation of traditional leaders in meeting council, however there are some debates centred around their participation, which is based on roles and functions.

The *Municipal Systems Act* enacted in 2000 has also been in the forefront in charting a way on how communities should participate in the affairs of the municipality, such as on integrated development plans and budgeting processes. The municipalities are therefore given a challenge through these legislations to ensure that the culture of participation is developed. One of the major challenges facing the municipalities is to set aside particular resources that will be used in encouraging and also for creating the conditions for the local community to participate.

6. Some of the enablers to citizen participation

Despite the significant barriers dealt with above, there are a number of important innovations and interventions which show promise to make a significant impact in enhancing citizenship participation in democratic local governance. However, many have not been systematically documented or assessed. Some of the innovations dealt with in the include (CASP, 2004):

6.1. Innovations Around Citizen Participation in Planning

In a number of countries, perhaps most notably the Philippines, India and Bolivia, new legislation offers possibilities for new processes of participatory planning to influence the priorities of local governments. Perhaps the most extensive model for this is found in the Peoples Campaign for Decentralised Planning in Kerala, which has mobilised thousands of people at the panchayat level to prepare plans for economic development and social justice. Similarly, in the Philippines, the Batman project is using participatory planning in a large number of municipalities across the country, and in India the National Coalition of Resource Support Organisations associated with PRIA has promoted participatory micro-level planning in a number of states (CASP, 2004). In many instances, participatory planning methodologies, such as PRA, are being used, and NGOs and others who have these skills are being called upon by local governments to provide such assistance. Closer to home initiatives around community based planning in Zimbabwe and in Mangaung is receiving significant attention in the literature.

6.2. Focussing on Citizen Education and Awareness Building

Another set of strategies has involved using popular education and communication methodologies to strengthen the awareness of local citizens of their rights and responsibilities under new local governance legislation. In the state of Karnataka citizen groups and non governmental organisations (NGOs) have pioneered the use of radio as an awareness building tool, while in both Bangladesh and India popular theatre is being used for similar purposes. Also in India significant progress have been made by NGOs in developing strategies for strengthening the village meetings as the most basic unit of direct democracy. In Zimbabwe, the Community Publishing Process has developed popular education materials on citizenship and democracy which have been used widely across the country.

6.3. Training and Sensitising Local Officials and Political Representatives

While some participatory education strategies have focussed on building the awareness and capacity of local citizens, others have focussed on training of elected officials and government staff. These are largely of two types. In some places such as India, where reservations have been made for women and lower caste representatives, a great deal of

work has gone into training newly elected representatives, many of whom have no previous leadership experience in Local government politics.

In other settings, the focus has been on enabling existing government officials to engage with citizens in a more participatory manner. In Uganda and in Tanzania large-scale participatory poverty assessment projects have been used for helping to identify the priorities of the poor, and their perceptions of local governance, but also to strengthen capacity of local government staff in areas such as participatory planning. In India work has begun by government training institutes to experiment with large-scale methods of sensitising government staff to more participatory approaches.

6.4. Teaching Skills in Advocacy, Alliance Building and Collaboration

A fourth set of strategies involve the need for learning new skills of advocacy, as well as how to build effective alliances and collaborative partnerships, especially those that cut across power differences. This involves new skills for both sides of the equation. Citizens, community-based organisations (CBOs) and non governmental organisations (NGOs) previously excluded from decision-making in government need to learn skills of advocacy and effective policy influence, as well to guard against co-optation. Similarly, government officials and existing power holders need to learn new skills and to develop appropriate mechanisms for involving new stakeholders in policy formation and decision-making. Reviewing possible strategies for popular participation in local governance finds this approach potentially most promising.

6.5. Participatory Budgeting

One of the most popular and widely disseminated examples of successful experiences in citizen participation in decision-making at the local level is the experience of participatory budgets. In Brazil at least 70 cities have established a participatory budget system that allows citizen participation in decision-making over allocation of resources.

The participatory budget strategy was initiated in 1989 when the City Hall of Porto Alegre created participatory structures with decision-making power over the allocation of resources for the development of the municipality. The Municipal Council of Government Plan and Budget (MCGPB) is responsible for the co-ordination and organisation of the

process of developing the investment plan, and checking the execution of the planned budget. It is constituted by elected citizens from the 16 regions in which the city is divided as well as by government representatives with no voting right. Through a participatory planning process involving people from all the regions, the investment plan of the previous year is reviewed, priorities are defined and councillors for the MCGPB are elected. An open and elaborate consultation process with the population follows, which ends when the investment plan is approved by the MCGPB and sent by the Executive Power to the Municipal town councillors. Subsequently a negotiation process takes place around the specific details.

6.6. Promoting Accountability of Elected Officials to Citizens

While a number of participatory methods focus on enhancing direct participation of citizens in the governance process, others are focussing on maintaining accountability of elected officials and government agencies to the citizenry. Traditionally, in democratic governance, accountability is maintained in a number of ways, e.g. local elections, strong and active opposition parties, media, public meetings and formal redress procedures (Blair 2002).

In the newer and more active forms of citizenship, citizens are developing other accountability mechanisms. In Rajasthan, for instance, the women's led right-to-information movement has demanded a minimal level of transparency by local governments, especially in the use of local funds. Other more professional advocacy organisations, such as the Public Affairs Centre in Bangalore, have used a relatively sophisticated research processes to develop Report Cards of local governments in the delivery of services (CASP, 2004).

In both Bolivia and India, legislation allows for local vigilance committees to serve a monitoring and watchdog role. So far there is little evidence that these have developed the capacity and independence to do their job, but there may be great potential. In Kerala, for instance, local vigilance committees are empowered to sign off on local projects inspecting both for quality and for proper use of funds before final payments are made to contractors (CASP, 2004).

7. Project Management

Participation of communities in project management process is very vital. Development initiatives come to communities as projects. It is within this context my literature review looks at the definition of project and project management.

7.1. Definitions

a. Project

Several definitions exist for “project”. Cloete, Wissink & de Coning (2005) define project as a temporary endeavour in which human (or machine) material and financial resources are organised in a novel way, to undertake an unique scope of work, of given specification, within constraints of cost and time so as to deliver beneficial change defined by quantitative and qualitative objectives. This definition combines definitions given by Turner (1993:8) and Burke (1999:2). Another similar definition given by the Project Management Body of Knowledge (PMBOK) (2004) is that a project is a temporary endeavour undertaken to create a unique product, service, or result. The above definitions reveal that a project in any undertaking has a defined starting point and objectives by which completion is signified, characterised by limited resources by which the objectives are achieved. In other words a project is a set of well-defined activities in a logical order, the purpose of which is to produce predetermined results (deliverable product(s)) for a stipulated amount of money, within a rigorously managed time frame, maximising the satisfaction of all stakeholders. According to Kerzner (2000:2), a project can be considered to be any series of activities and tasks that:

- Have a specific objective to be completed within certain specifications
- Have defined start and end dates
- Have funding limits (if applicable)
- Consume human and nonhuman resources (i.e., money, people, equipment)
- Are multifunctional (i.e., cut across several functional lines).

Heerkens (2002) puts his definition differently. He eloquent says that a project is actually the response to a need, the solution to a problem. He further states that it is a solution that promises a benefit – typically a financial benefit.

b. Project Management

The appropriate definition according to Kerzner (2000), project management is the art of creating the illusion that any outcome is the result of a series of predetermined, deliberate acts when, in fact, it was dumb luck. PMBOK (2004) defines project management as the application of knowledge, skills, tools and techniques to project activities to meet project requirements. Project management is accomplished through the application and integration of the project management processes of initiation, planning, executing, monitoring and controlling, and closing. There are three dimensions to this process (Turner, 1993:13-14):

- The managing of project objectives
- The process involved in managing the achievement of project objectives
- The levels at which these processes are applied.

7.2. Project Life Cycle

Any project comprises four basic phases:

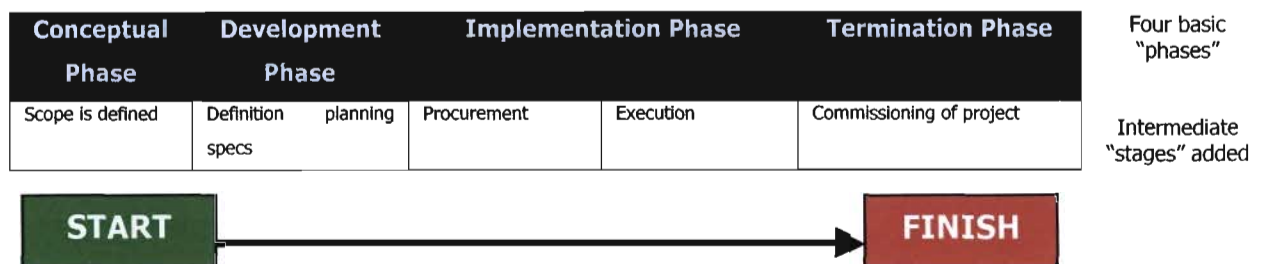


Figure 3: Project Life Cycle

Adapted from PMBOK Guide, 2004

7.2.1. Conceptual Phase

The conceptual phase is the one with the most crucial influence on the eventual success of a project. The ultimate goal of the project must be compatible with the constraints of limited resources. As the project progresses, the influence of this phase on the possible project success will diminish if the scope of the project is unrealistic in terms of the given constraints.

7.2.2. Development Phase

During this phase the applications of the project are finalised and time planning is done.

7.2.3. Implementation Phase

Execute the project according to the plan created in the development phase.

7.2.4. Termination Phase

This is the project closeout.

7.3. Project Management Knowledge Areas

The PMBOK identified nine (9) project management knowledge areas. These area are well defined by Cloete et al (2005) as follows:

7.3.1. Project Integration Management

Integrates the three project management processes of planning, execution and control – where inputs from several knowledge areas are brought together.

7.3.2. Project Scope Management

The process that ensures that the project includes all the work required, and only the work required, for completing the project successfully. It is primarily concerned with defining and controlling what is or is not included in the project to meet the sponsors' and stakeholders' goals and objectives. It consists of authorisation, scope planning, scope definition, scope change management and scope verification.

7.3.3. Project Time Management

The process that ensures timely performance of the project. It consists of activity definition, activity sequencing, duration estimating, establishing the calendar, schedule development and time control.

7.3.4. Project Cost Management

The process that ensures that the projects are completed within the approved budget. It consists of resource planning, cost estimating, cost budgeting, cash flow and cost control.

7.3.5. Project Quality Management

The process that ensures that the project will satisfy the needs for which it was undertaken. It consists of determining the required condition, quality condition, quality planning, quality assurance and quality control.

7.3.6. Project Human Resource Management

The process that makes the most effective use of the people involved with the project. It consists of organisation planning, staff acquisition and team development.

7.3.7. Project Communications Management

The process that ensures proper collection and dissemination of project information. It consists of communication planning, information distribution, project meetings progress reporting and administrative closure.

7.3.8. Project Risk Management

The process that identifies, analyse and respond to project risk. It consists of risk identification, risk quantification and impact, response development and risk control.

7.3.9. Project Procurement Management

The process that acquires goods and services from outside the project team. It consists of procurement planning, solicitation planning, solicitation, source selection, contract administration and contract close-out.

The diagram (*overleaf*) shows all nine (9)-project management knowledge areas mentioned above.

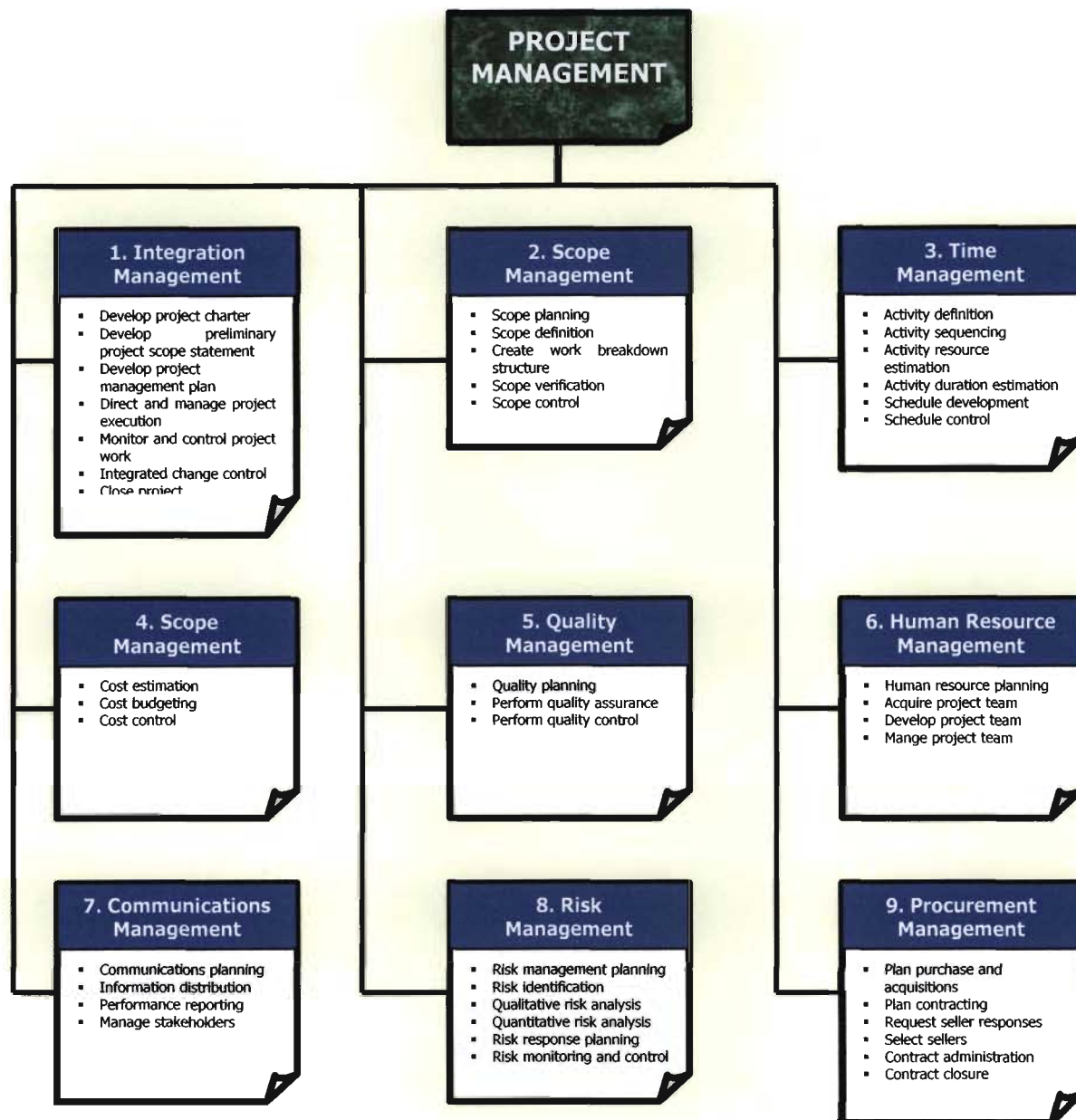


Figure 4: Overview of Project Management Knowledge Areas and Project Management Processes

Source: PMBOK Guide, 2004

8. Conclusion

About three sets of literatures have been presented in this chapter. The literature review presented is going to be used when I discuss and analyse findings and when making recommendations for this study.

Chapter 3

Research Methodology

1. Introduction

In this chapter, I am going to present the methods used in conducting the research. The chapter will be detailed in terms of the process followed including the type of questions that guided the discussions and interviews.

2. Terms of reference of the study

The key **terms of reference** of this research project are:

- *To do systemic analysis on organisational design for effectiveness.*
- *To recommend on what needs to be done to change the situation should the research reveal that the present design does not make the Municipality effective.*

3. Research Methodology

Choosing a particular research method is not an easy task. I believe that the nature of the issue being investigated has some influence in choosing which research method has to be used. This research work has been conducted through the use of **Participatory Action Research (PAR)** methodology. Empirical research method has also been used where necessary. The research topic can be well explored by using these different methods especially the Action Research method.

3.1. Why Action Research Method?

Having consulted different authors on action research approach, I have made my choice by choosing Soft Systems Methodology developed by Professor Peter Checkland and his colleagues at the University of Lancaster. Checkland (1981) describes soft systems

methodology as an action research methodology. This methodology is based on this notion of esystem as constructi, as indeed are a number of newly emerging systems methodologies especially designed for use in the management and development of organisations and communities. He (Chekland) provides a more coherent argument than most of the others like: Elliott (1991), McKernan (1996), and Winter (1989). Ulrich's understanding of Action Research is that it is closely connected to processes of social planning (Ulrich, 1996).

Action Research brings more practical reason into this unjust and unreasonable world of ours. It constructs a recurring learning cycle with four recurring cognitive stages, namely planning, acting, observing and reflecting, within a meta-cognitive cycle of problematising the learning and research process.

Action research is the methodology, which has the dual aims of action and research. Firstly, it has to bring about change in some community or organization or program. Lastly, the research has to increase understanding on the part of the researcher or the client, or both (and often wider community) (Dick, 2001). Action research is based on the structuring of a learning cycle within a context where learning that meets the requirements of research is required. It is grounded in the realization that the application of professional knowledge takes place in contexts, which are complex, dynamic and constantly changing.

Bless & Higson-Smith (1995), highlighted six important points why action research is valuable:

1. It is concerned with solving particular problems facing communities;
2. It helps individuals, organizations and communities to learn skills and get resources so that they can function more effectively in future;
3. It provides a way of spreading the understanding gained through research to people and communities who can benefit from those findings;
4. It attempts to understand the person and the community within the broader social context;
5. It aids communication between social researchers and communities in need of assistance;
6. It shakes the 'ivory tower' of many social scientists and makes their work directly beneficial to society.

3.2. Research Framework

In using the above methods, I have found that the work done by McTaggart (1992) is useful in applying Deakin's approach. Deakin's approach is the use of a defined cycle of research, and the use of participatory methods to produce emancipation. The cycle consists of four steps: **Plan; Act; Observe and Reflect**. The action research cycle can also be regarded as a learning cycle. Kolb (1984) regards learning as a core process of human development that is clearly distinguishable from a simple readjustment to change. His experiential learning cycle consists of four generic adaptive abilities that are required for effective learning.

How was Kolb's Cycle Used?

The cycle commences with a concrete experience, either professional or personal that is perceived by the individual as interesting or problematic. I started by doing observations and information was gathered about the experience, and then I reflected upon it over and over again. By analyzing this reflection, insights began to emerge as kind of 'theory' about the experience. Implication was drawn from this conceptualization and used to modify existing practice and generate new approaches to practice. As a way of reflecting, I have organized several workshops with relevant stakeholders to present what I thought was the new approach that the Municipality needs to employ in making participation of communities in local governance more effective and meaningful.

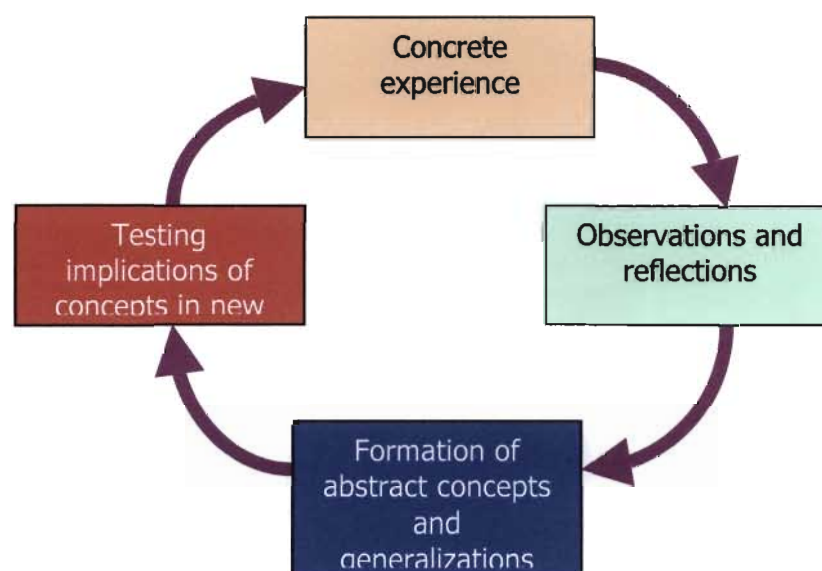


Figure 1: Kolb's experiential learning model

Source: Davies, Finlay & Bullman (2000)

To explore further, I have decided to use the following model/ framework (**figure 2 below**) in my research.

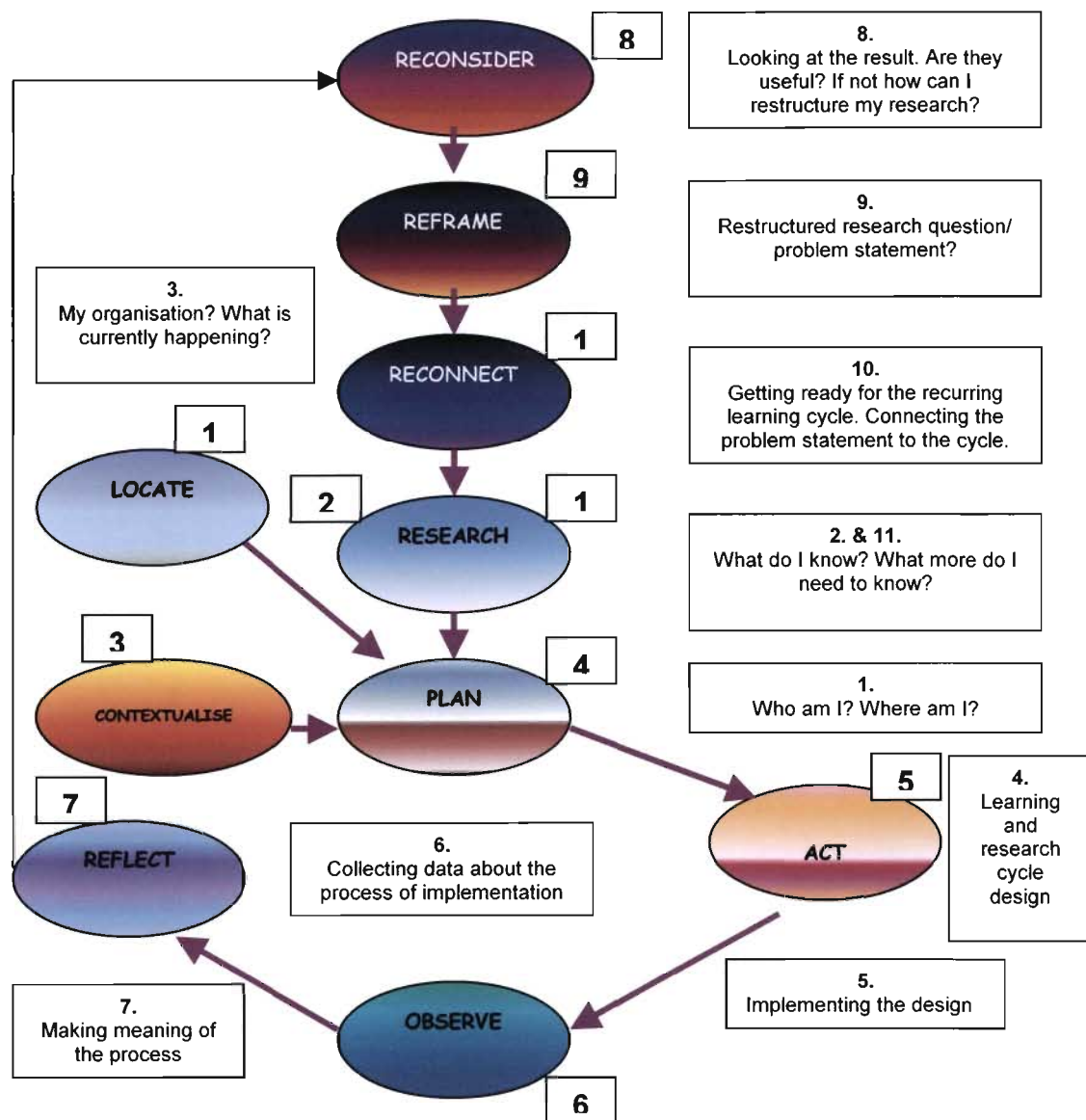


Figure 2: Research Methodology Framework

Adapted modified and extended from Davies et al (200), Handy (1989) and Checkland & Holwell (1998)

The above framework was applied using project management approach which states that there should be a start and a finish when one executes a project. This research was conducted from March 2004 to March 2005. Different tools were used during this period. These research tools used were: workshops, structured and unstructured interviews,

report-back sessions, information exchange with other municipalities and desktop research.

3.3. Procedure of the study

The study has been conducted in a phased approach. These phases are as a direct of using the research model presented as *figure 2*.

PHASES	WHAT HAPPENED	RESULTS THEREOF
February – March 2004 IDENTIFICATION OF PROBLEM SITUATION & FORMULATION OF RESEARCH THEMES	<p>I used my observations based on my daily interactions with communities, councillors and my colleagues at work and it was established that the present system or situation gives rise to concerns around the issue of unsatisfactory community participation in local governance.</p> <p>Based on the above, I formulated research themes and key critical questions as well as subquestions.</p>	<p>Research topic was formulated</p> <p>Structured approach towards conducting the research was in place</p>
March 2004 PLANNING FOR ACTION RESEARCH	<p>I planned to work with Stakeholders Forum from INK area. Monthly stakeholders meetings were already scheduled.</p>	<p>Site and sample selected</p>
March 2004 – September 2004 EXECUTING THE RESEARCH	<p>7 Workshops/ meetings within INK Stakeholders forum were conducted. These workshops were held on the first Monday of each month starting from March to November 2004.</p> <p>Learning workshop with relevant stakeholders from eThekweni Municipality was convened. This was a two-day workshop which took place in July 2004. The workshop included representatives from all 100 wards. This was important because of the diversity in the city.</p>	<p>First draft document (policy) which suggests improvements on the system</p> <p>More data was collected and fed to the draft working document</p>

PHASES	WHAT HAPPENED	RESULTS THEREOF
<p>October – December 2004</p> <p>REFLECTING</p>	<p>Presentation of final findings and were presented to:</p> <p>Strategic Management of the Municipality in October 2004.</p> <p>INK Stakeholders Forum in October 2004</p> <p>ANC Party Caucus in December 2004</p> <p>DA Party Caucus in November 2004</p> <p>MF Party Caucus in December 2004</p> <p>Amakhosi (traditional leaders) in November 2004</p> <p>Citywide stakeholders in December 2004</p>	<p>Comments were made. These comments resulted in the reconsideration, reframing, reconnecting and re-researching.</p> <p>New direction emerged. This direction propelled the research to look at Ward Committees as key element of the system in making community participation more effective.</p>
<p>January 2005</p> <p>RECONTEXTUALISING & REPLANNING</p>	<p>All comments were fed on the first draft document. The report was submitted to the Executive Committee of the Municipality. The report recommended that the Municipality amend its status in terms of Section 12 of the Municipal Structures Act so that Ward Committees can be established as proper channels for community participation. The full Council meeting approved the report and took a resolution that Section 12 be amended.</p>	<p>Planning for Ward Committees establishment</p> <p>Information exchange with Mangaung Local Municipality on how to go about establishing Ward Committees</p> <p>Rules for the establishment and operation of Ward Committees were developed</p>

PHASES	WHAT HAPPENED	RESULTS THEREOF
March 2005 REFLECTING & RECONSIDERING	<p>Mistakes were acknowledged and the Provincial Minister was urged to publish the amendment of Section 12. A comprehensive final draft of community participation policy was developed. This document included participation strategies, programmes and communication strategy.</p> <p>What is awaited now is for the Council to adopt the Participation Policy.</p>	Final Draft on Community Participation Policy.

3.4. The Information Collection Process

As indicated above, I used a multiplicity of methods to conduct my research and to collect the information necessary for the study. While the workshops and focus groups were an essential method, I also made extensive use of interviews with the individuals and relevant stakeholders.

A qualitative data analysis was carried through the use of the relevant research themes and questions. The data analysis is a product of a participatory process between participants and myself. This process of engagement with participants is a critical element of the project and is an ongoing process. The inputs from these discussions were fed into the data analysis process. Participative data analysis is has been done by effectively involving various stakeholders in the process to ensure that all the essential issues are captured by the analysis.

The information gathering methodology used in the workshops and focus groups was an interactive one and sought to engage participants in discussions and exchanges in relation to participation rather than it being a dry process of extracting information and issues. In the case where I felt it necessary to do so, the key issues that emerged in the workshops were followed up in greater details in the focus group discussions and the structured and unstructured interviews.

During the course of the interactions with stakeholders in the workshops, interviews and focus group discussions, I started off by engaging participants around their understanding, perceptions, merits and demerits about citizen participation in general, citizen participation in relation to the municipality as well as their experiences about participation in this regard.

In the course of these issues being discussed a number of additional issues were raised, both by myself as a researcher and by participants. These issues were the following:

3.4.1. Critical Questions

- i. Does the present organisational design allow for proper community participation in local governance?
- ii. How do ordinary people, especially the poor, influence decision-making processes of the Municipality including policies, which in turn affect their welfare?
- iii. What is the role of citizens in policy formulation processes, project management and implementation? Can they play that role effectively?
- iv. How do changing contexts and conditions, from apartheid to democracy, influence the structures through which civil society, the subaltern social groups and the poor exercise voice in critical areas of social needs and other critical aspects?
- v. What can the Municipality do to create and strengthen the appropriate community structures required for local governance?
- vi. What other appropriate mechanisms can be put in place to ensure the sustainability of civil society structures and end-user groups?
- vii. How can the Municipality capacitate members of the community structures, relevant end-user groups, Councillors and officials so that they can participate meaningfully and effectively?

- viii. How can the Municipality deal with the change of mindsets so that officials can do business in new a way that looks at community participation as an integral part in service delivery?

3.4.2. Sub-questions

1. What are the key political, social, economic, historical and other issues that impact on citizen participation in the learning area?
2. What is the 'state of citizenship' in the learning area?
3. What is understood by 'citizen participation'?
4. Why do people participate?
5. Why don't they participate?
6. How do they participate?
7. What do they expect of participation processes?
8. What is the nature of citizen participation processes and practices in the learning area?
9. What are the key barriers and enablers to participation in the learning area?
10. What are the implications of the above for strategy development?
11. Who are the most organised sectors/organisations in the ward?
12. What are the major issues around which participation takes place?
13. What are the institutional/organisational forms via which people participate?
14. Who participates, how, why and around what?

15. Who does not participate and why?
16. What is the recent developmental history of the area? What are the current development projects and how much progress has been made with these development projects?
17. What are the problems and challenges regarding these development projects?
18. How do the citizens participate in these projects? What are the levels of citizen participation? Is it real deep participation or is it simply a case of a few strong and influential leaders who participate?
19. Who initiated these projects, who led them?
20. What is the organisational/institutional form in which community participation happens in these projects?
21. What are the key lessons to learn from the community participation process in these projects?
22. Who are the 'weak voices' in the ward, sub region and learning area?
23. Who are the marginalised sections of the community?
 - The voiceless - they exist but do not have any organisation speaking for them. What are their issues and concerns?
 - Unorganised - they exist but do not have any organisation speaking for them. What are their issues and concerns?
 - Poorly organised - they exist but do not have any organisation speaking for them. What are their issues and concerns?
 - The socially excluded groups

24. What are the experiences of the above categories of citizens in terms of participatory processes?
25. What attempts have been made to involve them more deeply? Who has made these attempts?
26. Why did it succeed/ fail?
27. Who should make the final decision in citizen participation processes?
28. What should the role of the key participants in a public process be (including the citizens, general public, political representatives and parties and consultants)?
29. How can the underrepresented and silent voices be more effectively included in participation processes?
30. What institutional provision should the City make for effective citizen participation?

4. Sampling

Inanda, Ntuzuma & KwaMashu Area Based Management programme was used as the main site for conducting the research. The Stakeholders Forum was used as the platform for enquiring and getting more data. On top of this six (6) wards (within INK) were selected. The selection of these wards took into cognisance all different groups and classes found within the municipality.

Chapter 4

Research Findings

Community participation is not only a fundamental part of democracy, it also ensures that better decisions are made as local people know their community and local difficulties and strengths. Government programmes and action can then be based more clearly on the reality of people's lives.

1. Introduction

The objective of this chapter is to present my findings on the study. My opinion will be shown in *italics*. These findings are around the nature of citizen participation in the areas selected for the research. In particular, the chapter presents findings using a thematic approach. The approach will help during policy or strategy development for the Municipality. *The key finding of this research indicates that if communities are institutionally linked with the Municipality then they have a higher propensity to participate and are more likely to display a greater long-term commitment to participatory processes.*

2. Participation Dynamics in each Ward

Ward	Community Participation Structures	Participation issues
Ward 11	<ul style="list-style-type: none">▪ Civic Association▪ Flats Groups▪ Development Forum▪ Development Committees▪ Ward Committee	<ul style="list-style-type: none">▪ Development in general▪ Drug abuse▪ Domestic violence
Ward 39	<ul style="list-style-type: none">▪ Development Committee appointed by the Councillor▪ Block Committees	<ul style="list-style-type: none">▪ Housing▪ Welfare▪ Crime▪ Transport▪ Health▪ Sports
Ward 40	<ul style="list-style-type: none">▪ Development Committee	<ul style="list-style-type: none">▪ Lack of capacity (Dev Com)▪ Lack of resources (Dev Com)▪ Crime▪ Youth unemployment

Ward	Community Participation Structures	Participation issues
Ward 41	<ul style="list-style-type: none"> ANC Branch Executive Committee NGO's CBO's 	<ul style="list-style-type: none"> Political
Ward 45	<ul style="list-style-type: none"> Development Committees Ward Committee 	<ul style="list-style-type: none"> Crime Welfare Nutrition Housing Development projects Sports Cultural development
Ward 46	<ul style="list-style-type: none"> Ward Development Forum Development Committees NGOs CBO's 	<ul style="list-style-type: none"> Crime Youth unemployment

Figure 1: Participation Structures and Issues

3. Understanding of Participation

Participants were in general not in a position to define citizen participation as such but had views that were permeated heavily by their political consciousness, their negative and positive experiences of previous participatory process involving the present municipality and previous administrations, and most critically, by a widespread perception of local government as the 'deliverer of developmental goods'. The issue of whether citizens should engage in public participation for the sake of it or for the benefit that can be derived remains crucial. Some people feel that participation is only meaningful when one can derive economic benefits in the form of participating in a project. However, the most common understanding of participation is that of citizens being able to participate in development initiatives started by the state.

The meaning attached to the notion of 'citizen' and citizenship' by most participants was that of understanding citizens as being those living within the confines of the municipal boundaries.

Participation is also seen as the best way of ensuring community ownership of development processes. Community participation is seen by many participants as different

from political participation in that community participation involves 'community structures' and 'citizen participation'.

Political participation on the other hand is seen as taking place through political parties. There is a general feeling that this kind of participation is not the best. It is argued that 'formal parties in development might hinder the development issues'. This means that politics are likely to get into the way of development if not controlled. The involvement of politics in development remains problematic hence the feeling that 'politics must be differentiated from development'. It would seem that most people do not have confidence in political structures as a means through which they can participate in local government issues. In order for participation to take place there is need to avoid the interference of politics in development.

However, there is also an acknowledgement of the role of political parties in the development process. The issue here is that political parties are fine as long as they do not promote their own political agendas. When political parties are involved in communities there is need for them to 'interact with them' [people in the community] in decision-making and not to favour people who belong to their parties. Alternatively some communities feel that instead of communities being represented by political parties, communities can appoint their own representatives in the form of 'community liaison officers'.

Some of the meanings attached by participants to what they understood by citizen participation were:

Firstly, there is a need to understand citizen participation as a process of engagement that should not be reduced to a narrow set of project outcomes or products. Participants felt that much participation exercises were where communities required to comment or participate in isolated planning processes, or in processes where the key decisions were made elsewhere. In this regard participants made a strong claim for participation to be seen not as isolated consultation processes but as a process of building long-term relationships and partnerships between the institutions of local government and communities. In this regard some participants were of the opinion that participation is not a one-way process of citizens being empowered but that it would also be empowering for the local authority officials and political representative.

Secondly, some participants felt that the way participation was conducted many times by the municipality made the building of genuine partnerships difficult because they tended to be conflictual because of feeling by communities that the municipality was undermining them.

Thirdly, there were strong feelings raised about the need for participation processes to recognise and make use of the wealth of knowledge and strategies that are present in communities.

Fourthly, that citizen participation has vastly different meanings to different people. For many participation is simply an extension of their political activism at a community level, others saw participation as a means to having their immediate needs addressed.

Fifthly, many participants tend to confuse participation with interactions between themselves and their local councillor. This means that many participants reduced participation to the times that they interacted with councillors. At the same time this comment must be qualified by the fact that many of the participants were extremely critical and unhappy with what they perceived as the lack of delivery and accountability of their local councillor

Sixthly, citizen participation is about local empowerment of people who were doing things for themselves with very little resources, access to resources and support. In this regard the issue of capacity building featured very strongly. The feeling of participants was if government wanted citizens to participate more effectively and to 'do things for themselves' then, local government has to play a role in creating an enabling environment though providing capacity building for citizens. There was a strong set of opinions that argued for citizen capacitation processes.

Seventhly, participation is about developing in local citizens and understanding of their rights, obligations and responsibilities as citizens and about their rights as citizens to be meaningfully involved in the activities of the local government

Eighthly, many participants raised the key element of resourcing as a key element of citizen participation.

Ninthly, there was a series of comments about the need for citizen participation to also be about providing the enabling conditions for building local leadership beyond that of local party political interests, putting structures in place that facilitate real participation and that participation is about building democracy in order for people to participate in local government.

Lastly, there were also comments made about the process of participation in relation to interactions between the municipality and local communities. Some of the viewpoints raised in this regard were:

- i. The need for participation to be more than a notice on a notice board, an advert in a newspaper or a letter or document in the post. One interviewee felt strongly that participation processes in relation to municipality initiated processes such as spatial planning needed to be more than the public being required to react to initiatives. In this regard the feeling of the interviewee was that participation processes needed to involve communities at all stages of the project cycle – it should not ‘begin and end with needs and issues identification’.
- ii. There was a feeling that most such processes were more about information dissemination (much of which, it was said, was inaccessible to the citizens in any case because it was mostly in English and via thick technical documents).

4. The role of the Municipality in facilitating and enabling environment for community participation

The experiences of citizen participation processes vary greatly across the different communities. Those with an in-depth knowledge and experience of participatory processes had a mixture of positive and negative opinions about the value of prevailing participation processes. I have once again shaped the attitudes to this around a number of themes:

Firstly, a key concern voiced by participants was uncertainty about whether their inputs have any influence on decision-making. This concern was expressed in a variety of ways, including the feeling that their input did not matter because the essential decision

'appears' to have already been made before the participation process commences or ends. This concern was strongly made in relation to the allocation of resources such as money for specific community needs.

Secondly, there was an acknowledgement however, that there had been a significant change in the participation processes of the municipality compared to historical practices. While some participants felt that this change was largely because political transformation had compelled the City to increase opportunities for citizen participation, others felt that the City demonstrated a far greater commitment to citizen participation than was apparent in the past.

Thirdly, there was a strong feeling amongst many participants that party political loyalty and allegiances played a pivotal role in how projects and project resources were allocated between communities.

Fourthly, a key issue relates to the question of who decides when a process should begin and end and when and how citizens should be involved. There was a strong feeling that the scope, scale and intensity of a project would be the key determinant as to the nature of the participation process, who should be involved and on what basis? Several participants suggested that a participation process should commence at the point of needs identification. Only in this way could the citizens be assured that the initiatives would focus on the real and prioritised community interests. In addition, the extent to which public inputs and contributions are incorporated into the product that emerges from the process, be it a report or a spatial plan, is therefore a central issue in any participation process.

Lastly, many of the participants felt that a formulaic approach to participation was followed, offering very little real space for real input. *The three major phases of this formulaic approach are graphically described below.*

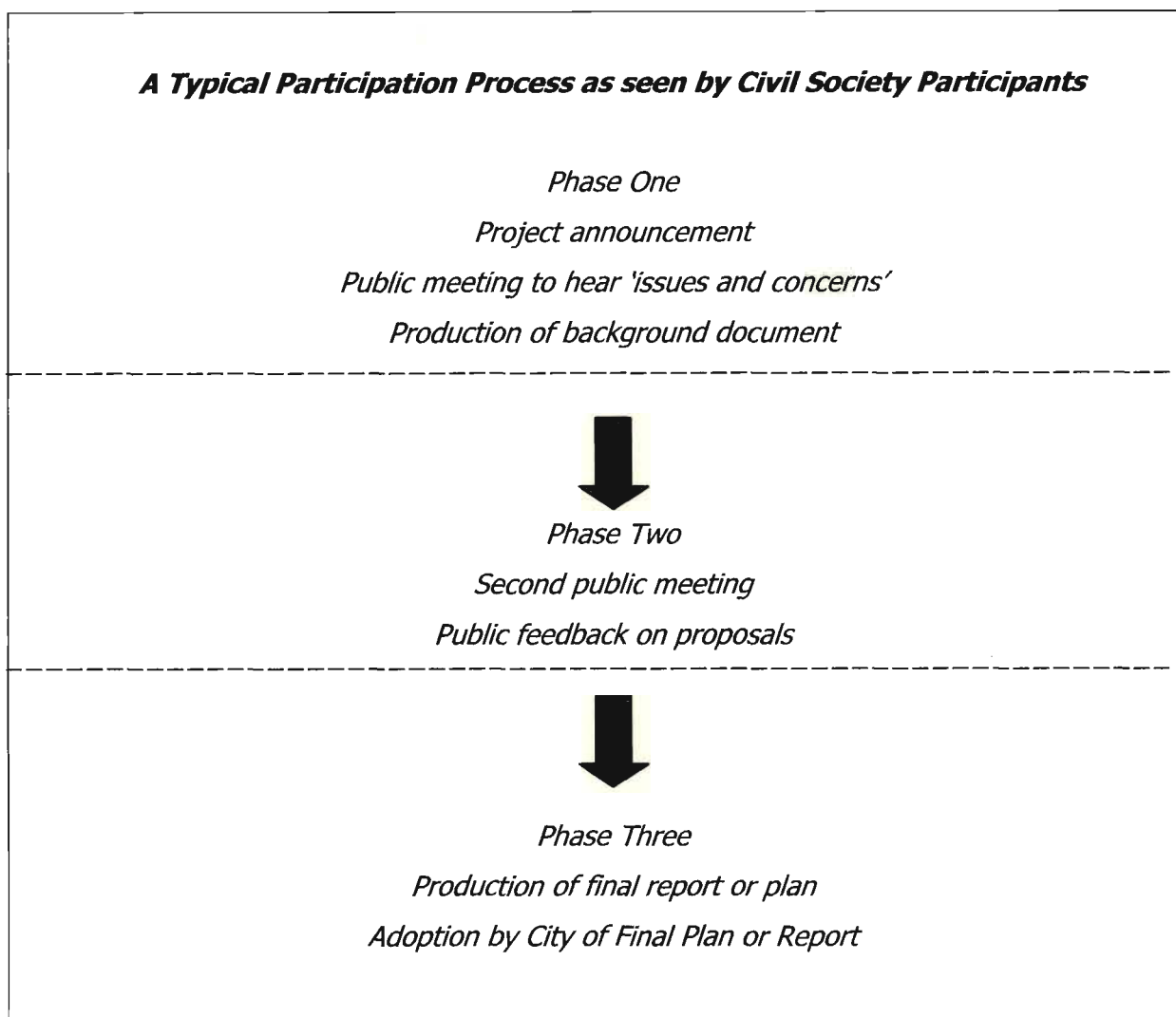


Figure2: Participation Process as seen by participants

Most processes are seen to start with a 'project announcement' that is predicated on the prior identification of a rationale (or need) for the project. The process then proceeds and ends with the production and approval / disapproval of the plan. The implementation of the plan is normally part of a separate process. A number of respondents raised concerns about the project-based approach of participation processes.

5. Decision-making in Citizen Participation Process

One participant¹ suggested that the key question that needs to be addressed is that of the level of decisions requiring participation and how such decisions are made and by whom.

¹ Adrian Masson of the INK Team

The participant is of the opinion that a participation policy needs to provide clear guidelines around the different levels of decision-making required across the city and the institutional players that would be required to make decisions on such matters. This is important because a policy needs to explicitly recognise the political context within which decisions around resource allocation are made within local government and of the varying levels of institutional complexity within which decisions are made. *In this context therefore, the issue is how policy can strengthen citizen action that provides a sufficient level of decision-making to citizen groups over issues that impact on their lives, while not taking away the politically and legislatively derived decision-making powers of councillors and officials.*

The issue was prompted by the need for me to explore the extent to which there is space to extend the rather traditional-state centred way in which participation processes are run. In other words, most participatory processes tend to involve citizen identifying their needs and these needs then being acted upon via the local authority then making the final decision once the participatory process is deemed complete. The issue therefore points towards the inherent tension that exists between the inputs and contributions made by the citizenry and how these are reflected in the product that emerges at the end of the process. In this regard there were a number of differing and in some cases, contradictory responses:

Firstly, some participants felt that it was the legal right, role and responsibility of the municipality, through its elected political representatives, namely, councillors, make the final decision regarding the allocation of resources. *This sentiment was at times most strongly reflected in areas where the local councillor was very powerful and influential.* Here the feelings of participants were that the councillor would consult citizens through appropriate structures such as development forums or ward committees but that ultimately the political representatives had the right to make the key allocative decisions. However, there was also a rider to this sentiment that many participants who offered this opinion conceded that this meant the possibility that decisions that were finally made would not necessarily reflect the views of the participants but rather the political and other priorities and interests of politicians.

Secondly, many participants felt the need for mechanisms that allowed real decision-making powers by local communities around issues that affected them most. In this regard some of the views included the need for:

- The participation processes to be inclusive of all concerned, especially historically excluded stakeholder groups and that the processes needed to consciously seek the participation of such groups
- A timeframe that allows for decisions that are responsive to the views of stakeholders
- Information dissemination that is appropriate to effectively reach the 'silent' stakeholders
- Appropriate participation strategies that elicit the interest and active participation of stakeholders
- Accountability mechanisms that assure the quality, transparency and legitimacy of the decision-making process.

6. The Role of Key Participants in Citizen Participation Process

The issue was prompted by a common complaint that elected political representatives did not take participation processes seriously. Some of the issues raised here were:

- The elected political representatives (councillors) generally do not attend public processes
- The City should view a participation processes as an opportunity for building improved City-civil society relationships
- City officials need to play a much more active management role instead of handing over this responsibility to consultants
- The citizenry needs to recognise that its role is a developmental one; it is not simply that of a watchdog over the actions and decisions of the City

Councillors are also seen as crucial in playing a role in enhancing and promoting public participation, especially because they can interact directly with the people who they are serving. They can call meetings and establish the needs of the community. In other words councillors can enhance public participation if they use their role properly.

7. Institutional Provision for Citizen Participation and Action

This was prompted by clear international and local case study evidence that points towards the need for citizen participation policies to be buttressed by commensurate levels of political will on the part of the political leadership and on appropriate institutional measures to make a publicly stated commitment to citizen participation real. As with the previous sections, I have identified the themes according to which responses were raised.

Firstly, some participants felt the central issue was that of resourcing, capacity building and support measures for civil society groups involved in citizen action processes.

Secondly, others emphasised the need for a policy framework that created an enabling environment and institutional mechanisms that focus special attention on citizen participation, and, critically, on building the participatory capacity of civil society. It was also suggested that additional provision should be made within project budgets for this purpose. Some of the suggested mechanisms included the strengthening of community based organisations, a targeted process of partnerships around educating local communities about how the municipality functions and the establishment of local liaison offices. Most communities feel that it is the duty of local government to ensure that such structures understand local government processes in order for them to participate in a meaningful way. Without empowering such structures, community participation will not be effective. It is only when they understand how government processes work that the communities would be able to critically challenge the municipality and call for it to be accountable to them. Hence people feel that there is need for the municipality to ensure that the community is represented in all projects undertaken by the municipality.

Thirdly, others, however, were of the view that, notwithstanding the importance of citizen participation, creating additional institutional mechanisms for this purpose was likely to increase the already unacceptable levels of bureaucracy.

Fourthly, encouraging the community to attend meetings and to form community groups that will represent them and communicate their problems to the relevant structures. Structures for public participation should therefore vary according to the needs and challenges facing the community. This will ensure that communities participate effectively according to its needs at a given time. *The forums identified in the Thailand case study can go a long in enhancing this kind of participation. These structures would however need to be equipped and capacitated in order to be effective.*

Fifthly, the key issue of increasing the accountability measures for elected political representatives was very prominent. In this regard various views emerged. Some people felt that councillors needed to be more consistent in the way they reported to local communities. *As I pointed out earlier in this report, the perception and lived experience of councillors never being available or present is a major point of tension in most communities.* However, this was not the case with all councillors, with some councillors being praised and commended for their accessibility and accountability to the community. One of the key issues is the inconsistent way councillors account to citizens. This has an impact on the nature and the level of participation. In communities where councillors make efforts to make themselves available for the people, participation is likely to be enhanced. Though the efforts of those who work hard to ensure maximum community participation are commendable, there is more that still has to be done especially because there are still considerable numbers of those who do not care. In some cases there are councillors who do not even 'attend to letters written to him/for him'. In other cases there were complaints of councillors not attending community meetings to which the community specifically invites them.

In some cases there is a general lack of trust between the councillor and some section of the community. *The restoration of trust is critical to effective citizen participation as participation is likely to be more inclusive and positive where such relations of trust exist.*

8. Barriers to Citizen Participation

The following were identified as some of the barriers to effective citizen action and participation:

- The domination of party political interests in community activities

- The domination of party political interests in community activities
- Weak community leadership
- Ineffective communication channels between the municipality and citizens
- Weakness of community organisations
- Officials not understanding how communities function and not being committed to genuine citizen participation processes
- Citizen apathy and disinterest in participation processes, based on a perception that participation would bring no material difference in their lives
- Lack of resources at a local level
- Domination of community based participation by strong and dominant personalities - both political and personal
- Small groups of activist spreading themselves across a number of organisations and not providing the space for the emergence of new leadership
- High levels of party political contestation in some communities - giving rise in some cases to high levels of political intolerance

There is an additional barrier that so critical that it requires me to devote more space to it. I found a persistent theme in the discourse that there is a direct correlation between participation levels and unhappiness and dissatisfaction around the levels of service delivery of the municipality. There is therefore a direct relationship between these expectations being realised via participation processes and there being a tail-off and declining interest when these expected benefits do not arrive. Participation is therefore not seen as an end in itself, but the means for achieving the end. These heightened expectations tend to be exacerbated by participation processes that focus on the identification of community needs without paying sufficient attention to communicating the reality that development resources are allocated within the context of a limited

resource base. These kinds participation processes do not encourage or build citizen action and participation but rather serves to heighten expectations which have very little chance of being met

Other cases of conflicts in participation include those that are generated by politics where leaders use political parties to pursue their own agendas. People made it clear that the conflicts between political parties are a problem to development and progress. Often ordinary citizens were caught in the crossfire of the fighting between political parties.

There are also instances where people do not participate because they do not know how the process of participation is supposed to take place. People are not informed in regard to the channels that should be followed for participation to be effective. Indeed, there are various organisations in the community which are interested in participation, but they couldn't do so due to lack of understanding on how the processes work.

In general there is a lack of understanding from the community on how local government works. There are no efforts on the side of local government to explain to the community how it does its work. Hence a majority of people lack understanding on how local government works. There is also lack of proper flow of information to the people. People are not getting enough information on local government matters. The problem that complicates this is the lack of education among the people. People who are illiterate are not likely to understand complex processes of government, and this usually discourages them to participate effectively.

Corruption, nepotism and biasness were cited as some of the things that were negatively affecting public participation. People who feel that they are not likely to be treated fairly are not likely to participate enthusiastically in the processes of local government. The same applies when people feel that the process is riddled with corruption and favouritism. There is danger that favouritism can ruin people's confidence in local government structures. *If these issues are not dealt with thoroughly, they are likely to cause problems and hinder public participation.*

The level of participation in community affairs was seen by some as not satisfactory as people felt that participation was not yielding any results. People generally felt that participation has not yielded positive results as they were still struggling to have access to

clean water and other basic services. People felt that not enough was being done to lessen their plight.

Also worth noting is that certain areas have unique characteristics which make them different from others in regard to community participation. These characteristics are likely to hinder or enhance community participation. For instance, in some areas there are high rate of unemployment among the youth, and poverty is generally high. This is likely to have impact on the level of participation in these areas. Even in terms of infrastructure, some areas are better than others. For instance at ward 40, they have 2 community halls. This is likely to play a crucial role in participation in that it is likely to enable the community to hold meetings, as venues for such activities are available. Some areas do not have such infrastructure, and the level of services delivery is still very low. In some cases there are areas where the level of crime is generally high, and the level of literacy is very low. This will also impact negatively on public participation.

Community organisations are facing the challenge in terms of securing funds that will facilitate community participation. Most communities indicated that they are in need of sponsorship in order for them to successfully build their organisations and make them ready to participate in government processes. *It is apparent that lack of funds has negative impact on the survival of most community-based organisations.* Most of the organisations interviewed cited this as the main problem.

7. Conclusion

Clearly, citizen participation serves higher-order objectives relating to the promotion of co-operative governance, as well as lower-order objectives relating to improved efficiency in service delivery. How this role is to be fulfilled in practice can only be answered through the policy formulation process, wherein this question is likely to constitute the key focus.

The issues and themes identified in this phase of work and summarised in this chapter will provide the point of departure for the next two chapters of this research project. In the next phase, the strategy development phase, I will be developing citizen participation and communication strategies for each ward, sub region and for INK as a whole. This will be done in a participatory manner and will involve all relevant stakeholders at each of these levels.

Let me conclude by giving a brief summary of findings. The research found that there are undesirable effects that make proper community participation becomes a failure:

Firstly, people view the Municipality's system of governance as unresponsive. This is because of lack of effective mechanisms of communication between the councillors, officials and the communities; lack of delivery of services to the community, resulting in people feeling that their needs are not being addressed therefore there being no need to participate; lack of municipal offices close to the places where people are living so that it becomes very difficult for people to be in touch with local government.

Secondly, there is also a general feeling that local government does not consult with the people when taking decisions on crucial matters.

Thirdly, political parties are not working in harmony with each other; this leads to high competition that is responsible for the hampering of service delivery.

Fourthly, people on the grassroots level do not have knowledge on how government structures function; this makes it difficult for them to have meaningful and effective means of participation.

Lastly there is found overwhelming evidence that there is a direct correlation between participation levels and unhappiness and dissatisfaction around the levels of service delivery of the municipality.

The following chapters will look at how the Municipality can change these undesirable effects to desirable effects.

Chapter 5

Systemic Organisational Analysis

1. Introduction

The previous chapter presented detailed findings of the study. These findings revealed that there are undesirable effects that need to be converted to desirable effects. In this chapter, I will first do my analysis based on the current organizational design. In doing this analysis, systems thinking will be my primary frame of reference. Most concepts discussed in the second chapter of this document are going to be used during the analysis. The chapter following this one will mainly give recommendations that will help the Municipality to be more effective when it comes to community participation and local governance.

2. Organisational Change: Purpose Statement and Vision

Expressed in simplified terms (*as depicted in figure 1 below*) the process-based organisational model starts with the goal, then examines the process that will deliver the goal and finally deals with the different parts that work *together* in the process that delivers the goal.

It is contended that without understanding what the purpose of the organisation is, and whom it is meant to serve, any organisational change process will be meaningless. More importantly, a narrow definition of the organisation's goal can lead to very narrow actions on behalf of the organisation. This could have effects that do not fulfill the aims of organisation. The Municipality adopted an approach which views communities as "clients". This means that the City Vision is around improving the quality of life for its "clients". Still this has not sunk well enough to municipal officials and Councillors.

Having clearly established the goal in 2001, it is then necessary to determine how well the organisation is **measuring up to the goal**. This can be done by examining what the

various stakeholders say about the organisation, its performance and in particular their complaints.

The uniqueness of the methodology lies in how it deals with these complaints. Essentially there are two ways to deal with such complaints.

The first way (which presently exists), which is typical of many change methodologies, which are driven by “activity-based, parts thinking” (rather than results-oriented, process thinking), involves the allocation of each of the problem areas to separate, relevant departments (e.g Community Participation and Action Support) to analyse and generate possible solutions independently of each other. The problem with this approach is that the symptoms often persist because the parts are only dealt with - and in isolation from each other. This problematic approach has led to a situation (*which I describe diagrammatically*) whereby:



Figure 1: Transformation methodology model

⇒ the organisational goal often not linked with activities at the “process” level or the “parts” level;

- ⇒ the process that delivers the goal is not acknowledged, instead the isolated parts are emphasized and
- ⇒ different parts are seen out of context from the goal and the process. The parts are therefore handled in isolation from one another (e.g. Community Participation and Action Support to account for non participation of citizens).

The second “results-based, process-thinking” approach, i.e. the one proposed by the by this document - views the entire organisation as a **single system**, which is made up of **interdependent parts**. Rather than starting with the parts in isolation from each other, process thinking deals with the parts as the last step, and deals with it in the context of the “whole” (i.e. the organisational goal and the process that delivers the goal).

It is important to note that some of the different parts, are actually important leverage points that are responsible for driving the processes that produce some of the complaints or undesirable effects (e.g. lack of consultation when the Municipality decides to implement projects). The symptoms (which have a relationship amongst themselves and the cause of the problem) are viewed as merely the results of a few critical **causes or sources of the problem**. These root causes/sources need to be identified as they are the leverage point to turn the entire system around.

With this results based approach, there is a greater chance of success in ensuring that the symptoms do not persist, and certainly less energy and time will be expended, as compared with dealing with all of the symptoms in isolation from each other.

Having been involved in an action research process, this section analyses the current Municipal system in an attempt to identify what needs to change, before presenting recommendations as an alternate model of what to change to, let me analyse the cause of the problem.

3. What is the cause of the Problem?

Tom Ryan in his lecture notes made a point that:

Any sane and purposeful human action the actors act because they believe that their action will improve their circumstances or those of the context in which the action takes place. As human actors our actions are based on our understanding of how such improvement can be made within the context. Our understanding is reflected in the mental representation or mental maps we hold of the situation – our understanding is the map we hold of the territory that guides our action in that territory (Ryan, 2001).

Ethekwini Municipality as an organisation and as an organism may be seen as a system when the way in which it works is being studied. A system consists of a number of interdependent subsystems which function as a whole and are aimed at a certain purpose. The Purpose Statement and the Vision of the City has already been presented in chapter 1. I have also indicated that at the center of the City's Purpose Statement and 2020 Vision is community participation. I also mentioned that the Council decided to be the type of Municipality which does not have participatory system. I believe this is where the problem is.

The creation of the Community Participation and Action Support Unit was indeed a good move, however the elimination of ward participatory system within the Municipality was not a wise move. The reason why I adopt this line of argument is because present Local Government legislations take the relationship between the Municipality and communities or citizens very seriously. In fact the Municipal Systems Act (2000), does not differentiate between the community and the municipality. According to the Act the Municipality is made up of three (3) components viz. elected representatives (councilors); administration staff (officials) and the community. Let me take my discussion further by closely looking at the mutuality between community and the local government.

3.1. Mutuality between Citizens and Local Government

The legitimacy of decisions by elected local governments depends on their effective accountability to their communities. The authority of a Council as provided for in the Local

Government Acts comes from the community through its elected representatives sitting as Council. All decision-making is therefore exercised on behalf of the community and accountability of Local Government to the community is central to that decision-making.

Good governance requires prudent financial management, transparency including adequate auditing and reporting arrangements, and a high standard of budget management to ensure financial sustainability, value for money and the proper management of risks. This corporate governance must reflect and be subject to the processes of democratic governance.

Performance of municipal authorities and officials must be gauged according to the community satisfaction. The *Municipality Systems Act*, No. 32, 2000 unambiguously stipulates:

A municipality, through appropriate mechanisms, processes and procedures established in terms of Chapter 4, must involve the local community in the development, implementation and review of the municipality's performance, management system and, in particular, allow the community to participate in the setting of appropriate key performance indicators and performance targets for the municipality (*Municipality Systems Act*, 2000:Section 42).

Beyond the legislative stipulations, there is a great mutual interest between the municipal authorities and the citizens, which seems to be guided by certain presuppositions and stereotypes as summarized in **Table 1** (*overleaf*).

ASSUMPTIONS	CITIZENS	LOCAL GOVERNMENT
What are the stereotypes of each other?	<ul style="list-style-type: none"> ◆ 'Us' ◆ Lay-people ◆ Non-professionals ◆ Lack knowledge 	<ul style="list-style-type: none"> ◆ 'Them' ◆ Corrupt ◆ Bureaucratic, ◆ Slow and unresponsive ◆ The experts
Why should they engage with the other?	<ul style="list-style-type: none"> ◆ Put forward their interests ◆ Get technical input ◆ Representation ◆ Lobby for resources ◆ Be involved in deciding how their taxes are used ◆ Building communities and increasing social capital 	<ul style="list-style-type: none"> ◆ Be responsive ◆ Increased legitimacy - more votes ◆ Increase collection of local revenue ◆ Improved relationship with local residents – less hostility and complaints ◆ Consensus building
What are the implications to each if they are to pursue a partnership?	<ul style="list-style-type: none"> ◆ Learn local government language in order to influence decision making process ◆ Enrich the quality of life and decrease feelings of alienation and powerlessness ◆ Gain ownership ◆ Harness locally existing knowledge, resources and capacities 	<ul style="list-style-type: none"> ◆ Understand local problems and priorities ◆ Be prepared to do things in a different way ◆ Build mechanisms for transparent accountability. ◆ Strengthen internal capacity ◆ Enhanced satisfaction with work

Table 1: Mutuality between Citizens and Local Government

Source: Nierras, Bishop, Abao, & Ross-Millianos, 2002:21

However, debunking the stereotypes of Municipality-Citizens/Community relationship; that is, the traditional notion that communities are mere recipients of government's services is important. The Municipal Systems Act, stipulates that the community is part and parcel of the community as much as it reads:

A municipality –

- (a) is an organ of state within the local sphere of government exercising legislative and executive authority within an area determined in terms of the Local Government: Municipal Demarcation Act, 1998;
- (b) consists of -

- (i) the political structures and administration of the municipality;
and
- (ii) the community of the municipality

(South African Municipal Systems Act, 2000, Section 2
(a), (b) (i)-(ii))

There is a problem because within the Municipality Councillors and officials do not see citizens and the community as integral and inherent part of the municipality.

3.2. Looking at the Problem in a Systemic view

The present organizational design depicts the following:

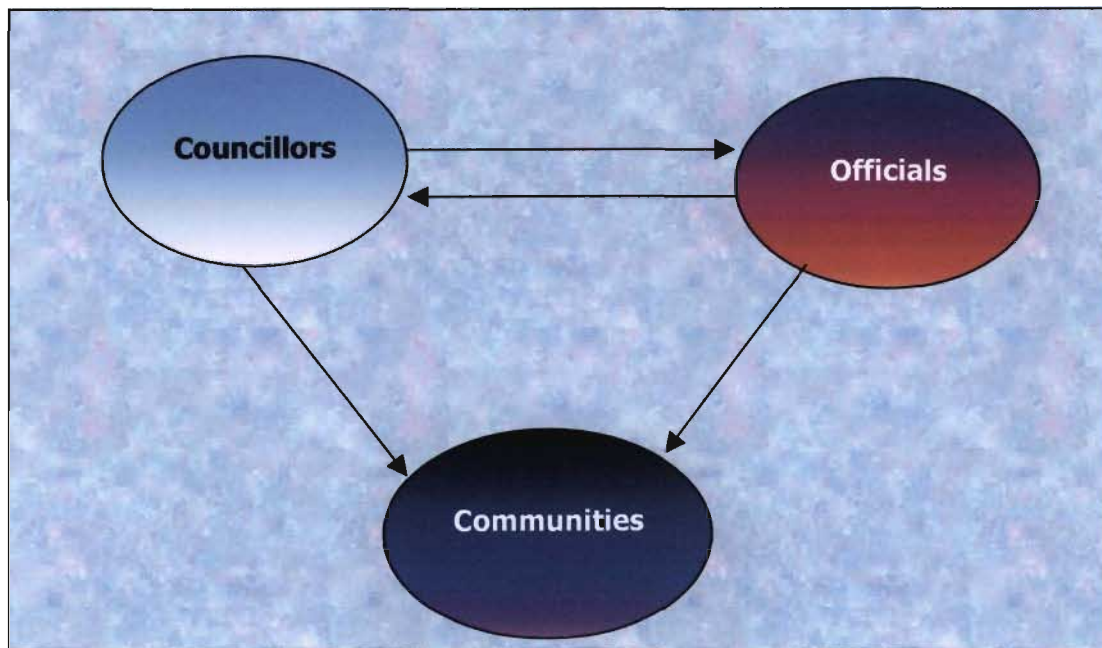


Figure 2: The Present Situational Analysis

Figure 3 indicates that the notion of developmental local government has not filtered well within the municipality. Communities are viewed as not being part of the municipality. This manifests itself when Councillors regularly interact with Council officials when it comes to projects and other decisions that need to be taken. The packaging then takes place between Councillors and officials. At the end, a package is taken to communities for a buy-in. The above scenario shows that citizens are still regarded as mere recipients of services.

3.3. Shifting the burden

Figure 4 of Chapter 1 (that describes the situation as a system) highlighted that Community Participation and Action Support Unit is the main department responsible for ensuring that communities participate in local governance. As I have indicated in the first section of this chapter that that was the good move taken by the Municipality. However, that move does not guarantee proper or effective community participation. I view this move as a symptomatic solution. It is tantamount to the shifting the burden attitude. According to Senge (1990) the cure can be worse than the disease.

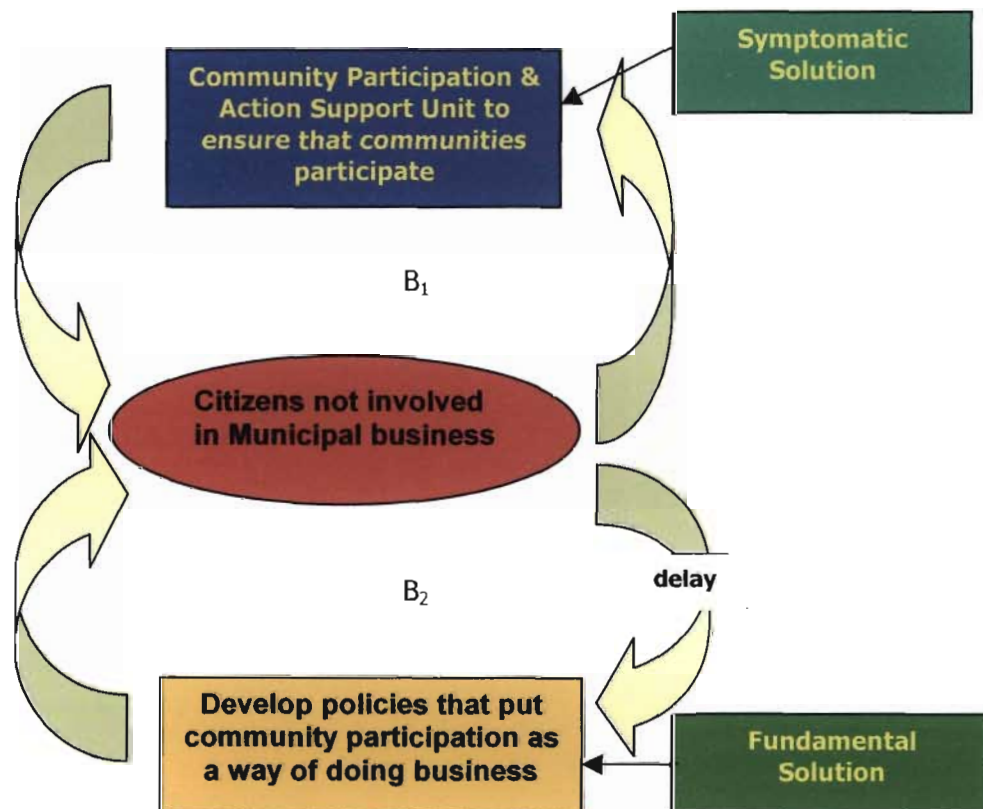


Figure 3: Shifting the burden

Community Participation and Action Support cannot on its own ensure that communities are involved. I believe it is the responsibility of each and every unit within the Municipality to ensure this. If this responsibility is given to just one department, this is the solution not well thought out. It is a symptomatic solution. What will end up happening is that departments like Water or Housing will continue doing things in the old way. They will get

away with murder because they will argue that it is not their responsibility to ensure that communities participate. A fundamental solution for me is to develop policies and job descriptions that put community participation as a way of doing business. Yes, rewriting policies might take time, leading to some delays but the outcome of the exercise worth more than time taken. Why do I argue this way? I believe that people who are employed do as much as they can to comply with what is written or rules that govern their daily work. If a policy says, "make sure that communities are involved in all projects and programmes" then an incumbent will ensure that that happens. Why? Because it forms part of his or her performance indicators. Let me put my point graphically so that it will be well understood.

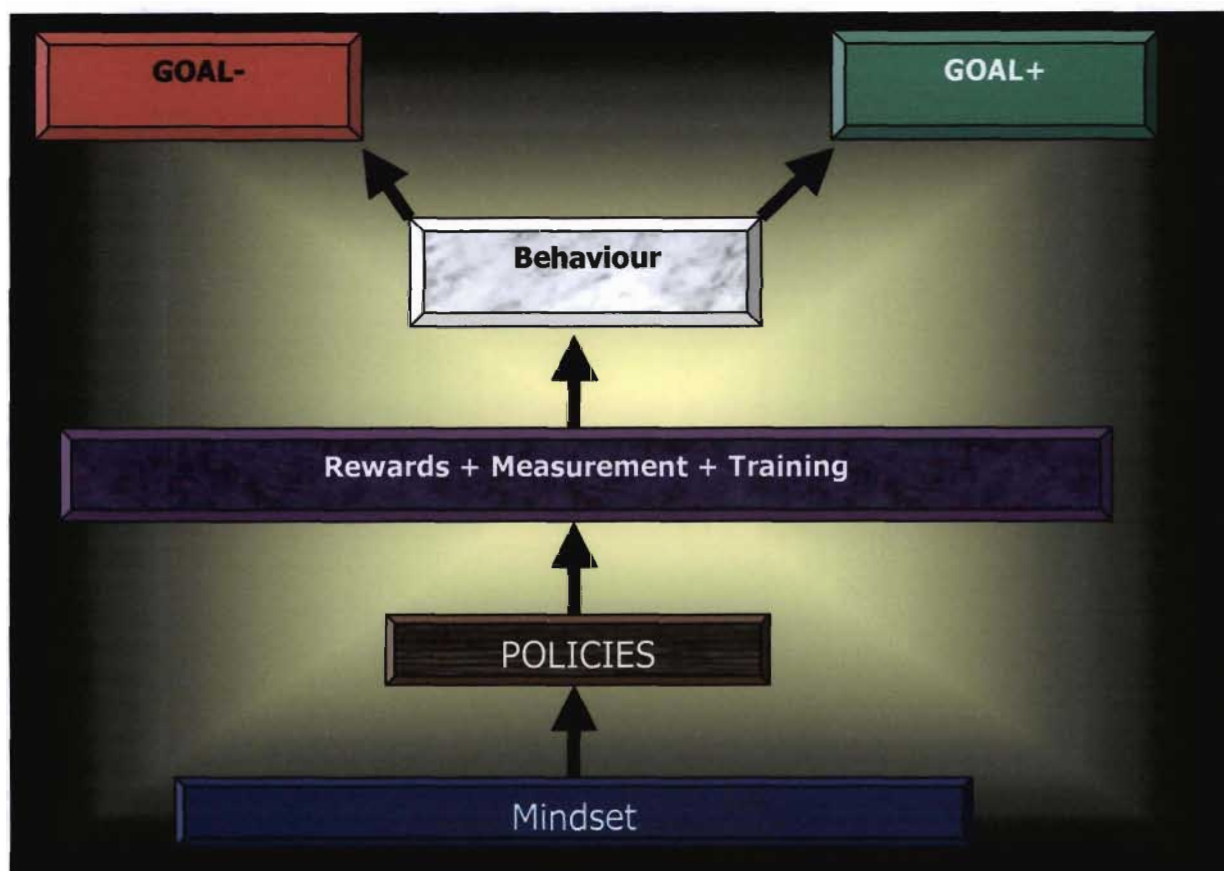


Figure 4: Organisational Behaviour Model

Source: Dlamini (2002)

Figure 4 (above) illustrates that the problem or undesirable effect (in this case the concerns from communities that they are not involved in matters of the municipality) can be regarded as a **negative goal**, which means the goal is not achieved. The **positive**

goal is where there are no undesirable effects, which means goal is achieved. In this case it also represents the effectiveness of the system presently used. Our **behaviour** as human beings or employees leads to either a positive or a negative goal. The reason why employees behave in a particular manner is because of **rewards and measurements** that have been put by the employer. These rewards and measurements are as a result of **policies** that are used in an organization. Policies are as a result of human endeavor, so the particular **mindset** held by a person who writes or proposes a policy plays a major role in the manner employees behave within an organization. Therefore if you need to bring about change, you better deal with the mindset then the rest will follow.

The point I am putting loud and clear here is that let all units within the Municipality take responsibility for community participation and Community Participation and Action Support Unit play a role of facilitation.

3.4. Deepening Mindset Analysis: Defining the direction of the solution

In summary, the undesirable effects (e.g. complaints from the community that they don't participate effectively) and the process that delivers them has been described through the problem tree. The next task is to find out what is at the bottom of this process, or what drives this process. There seems to be four critical areas that drive this process, viz.:

- a) The Municipality **measures** Heads of Units on compliance with the rules – the question is “why does the Municipality measure Heads of Units on compliance with the rules if some rules jeopardise the needs of the customer?”
- b) The Municipality created Community Participation and Action Support Unit to take responsibility of ensuring that communities participate in local governance – the question is “why did the Municipality not establish local community participation structures so as to enhance participation?”
- c) The Municipality's design displays grouping/ clustering of units by like functions together and not around delivering complete outputs to

customers – the question to be asked is “why is this the case if this contributes to delivering incomplete outputs as well as demoralizing citizens to participate effectively?”

- d) The Municipality holds Heads of Units accountable for service delivery regulations and budget in their own area of **responsibility in isolation from one another**. The question is “why is this the case if it leads to units not co-operating in the interests of communities and communities being demoralized to participate effectively?”



Figure 5: Mindset Analysis

Source: eThekweni Municipality Transformation Plan (2002)

3.4.1. Why does the Municipality measure Heads of Departments on compliance with the rules if some rules jeopardise the needs of the customer?

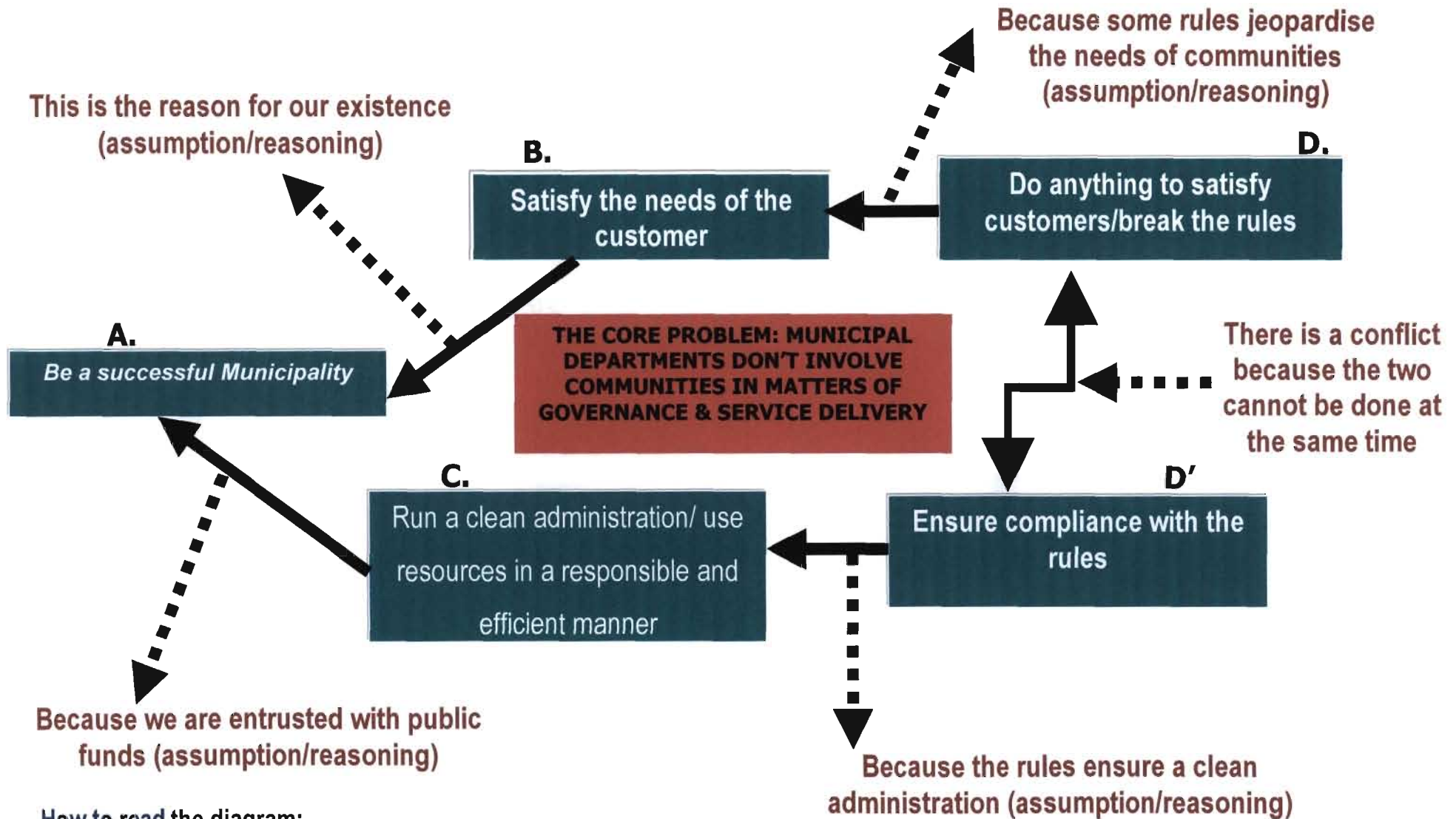
The starting point is really that the Auditor General actually determines much of the organisational behaviour, as he is ultimately responsible for the administration of all Municipalities. As the “boss” of the Municipality, the Auditor General has been measuring the performance of all Municipalities on how well they run a clean administration. The Auditor General gives either a qualified or unqualified report. A qualified report is generally bad for the image of a Municipality.

In order for a Municipality to be successful, it must satisfy two needs – on the one hand it must satisfy the needs of the public by providing services and on the other hand they must use public funds efficiently and responsibly (running a clean administration). It is important to note here that people behave according to how they are measured. Since Municipalities are being measured on clean administration, they tended to focus mainly on that need.

The figure (overleaf) is the analysis of the core conflict and surfacing of assumptions **underlying the core conflict.**

ANALYSIS OF THE MINDSET

The Municipality tends to focus too much on controls rather than on customer/ community service



How to read the diagram:

The conflict diagram is read from left to right i.e. **A-B-C** and **A-C-D**. The logic of the conflict diagram is that **A** is a common objective, **B** and **C** are needs that must be satisfied in order to achieve the common objective and **D** and **D'** are actions that need to be taken to satisfy the needs – **B** and **C**. The solid arrows between boxes indicate the cause effect relationship between the 2 entities. The broken arrow indicates the assumption/reason underlying the cause effect relationship.

What follows is a fairly detailed analysis of each of the above issues:

This is how it reads:

A-C

To be a successful Municipality, we must run a clean administration/ use resources in a responsible manner because we are entrusted with public funds.

C-D'

To run a clean administration/ use resources in a responsible manner, we must ensure compliance with the rules because the rules ensure clean administration.

A-B

To be a successful Municipality, we must satisfy the needs of customers because this is the reason for our existence.

B-C

To satisfy the customer's needs we feel pressure to break the rules because some rules jeopardise the needs of customers.

D-D'

There is a conflict between action **D** and action **D'** because the two cannot be done at the same time i.e. they are mutually exclusive.

The erroneous assumption seems to be lying under **D-D'**. If the two actions cannot be taken at the same time, it means that they are not aligned and the solution is to ensure that they are aligned. The next step is to find out why the two actions are not aligned so as to go find a way to align them.

Firstly, line **A-C-D'** is the objective of support departments, which are custodians of clean administration while **A-B-D** is the objective of service delivery departments. This fact combined with the fact that departments are held accountable for achieving their objective

in isolation from one another leads to these two components of the same organisation having conflicting objectives.

The way to go is to ensure that the support departments e.g. Community Participation and Action Support and service delivery departments e.g. Water Unit have the same objectives. This, therefore, means that the support departments must ensure the satisfaction of community's needs while ensuring a clean administration. The same should apply to service delivery departments.

Secondly, the motto primary objective of the Municipality seems to be to ensure compliance with the rules and squeeze satisfying the communities within the rules. The reason for this is that the Auditor General has been measuring successful Municipalities on how well they run a clean administration. This has shaped the thinking and **actions** of Municipalities. What you measure is what you get. The way to go is therefore to **PUT PEOPLE FIRST**, and ensure clean administration within that context.

How can this be done? The departments' role must change from being **controllers** to being **enablers**. Community Participation and Action Support Unit has to set a policy framework that ensures delivery of outputs that satisfy communities' need to participation as customers while ensuring clean administration, in consultation with the service delivery departments. The implementation of the policy should be the job of the service delivery departments. Secondly, the Community Participation and Action Support Unit has to be measured on how well it satisfied the needs of service delivery departments as customers. Service level agreements can serve this purpose. In conclusion the support and service delivery departments should see themselves as a chain of interdependent resources (supplier – customer relationship) that deliver outputs that satisfy communities' needs while not violating necessary conditions like running a clean administration.

3.4.2. Why did the Municipality not establish local community participation structures so as to enhance participation?

The answer to this question is that the eThekweni Municipality has been the type of the Municipality which could not establish Ward Committees. The role of Ward Committees is simple. Its all about extending democracy. Within the context of the transformation of local government Ward Committees serve as an innovative mechanism for communities to participate on a continuous basis in local government.

Against the bigger picture of a new South African state founded on principles of democracy and participation by all, local government was also transformed to reflect these values. But democracy is not solely about formal elected representation, it is also about a continuous cycle of interaction between elected leaders and the community. The aim of this interaction being to address the needs and concern: of the community, but also strengthening civil society and thereby facilitating responsive government.

The 1998 White Paper on Local Government contains public participation as a central theme. The term "Ward Committees" is specifically used within the context of metropolitan government systems. The reasoning in this regard appears to suggest that ward committees are regarded as a mechanism to allow for greater interaction with the municipality by communities. The policy on ward committees put forward in the White Paper corresponds closely with the provision relating to ward committees which can be found in the Local Government Municipal Structures Act, 1998.

Even though the eThekweni Municipality opted for having a collective executive committee and sub-council system, it should have given direction on alternative structures that were going to play a role similar to Ward Committees.

3.4.3. Why is it the case that the Municipality's design shows grouping like functions units together and not around delivering complete outputs to customers – especially if this contributes to delivering incomplete outputs and contributes to communities being demoralized to participate?

Two explanations are explored in an attempt to answer this question. In the first instance, one will need to conduct a historical analysis of its roots, and trace its origin back to the Industrial Revolution during the implementation of a Fordist model of production. Such a model emphasised a high degree of specialisation that results in a quick turnover. It is important to note that this conveyor-belt production model was appropriate to the industrial conditions of the day. This was because the way the conveyor belt process was structured ensured that each of the specialists worked in **synergy** with the other specialists.

I can attest that we are presently struggling to inculcate the notion of synergising our efforts. Each department wants to be seen as a very good department in terms of service delivery. What then happens is that each department would like to go to communities on its own, without other departments that might have major role to play in a particular project. This lack of coordination does not good to citizens. At the end of the day they are demoralized and hopeless.

In the present organisational context of practitioners who deliver a service, a different scenario presents itself. In examining the Municipality's current organisational design, it is clear that units are grouped according to similar functions without a mechanism like a "conveyor belt" to assist the handover in any synergistic way.

It is strongly argued that all specialists who are needed on the same "conveyor belt" that delivers the same output must work together in one service unit/output unit. The output unit head actually serves as the conveyor belt. However, this alone is not sufficient. Those who manage the service unit must manage them as an interdependent chain of resources and measure their effectiveness as such, rather than expecting them to work as independent resources and measure them independently. This, it is contended helps perpetuate the silo-based mentality that currently pervades the organisation.

In the second instance it is contended that the other contributory factor responsible for the Municipality's functional structure is the prescription of the Municipal Ordinance that laid down exactly how the organisation should be organised. For example it set out the need for a Chief Constable, a City Engineer; a Chief Medical Officer of Health, etc whose powers and functions were clearly laid down.

What is important to note is that rather than setting out the results to be achieved, the Ordinance only laid down all of the activities that needed to be performed. The bigger picture, or how the organisation was to achieve its goal could therefore never be realised.

3.4.4. Why is it the case that the Municipality holds Heads of Units accountable for service delivery regulations and budget in their own area of responsibility in isolation from one another – especially if it leads to units refusing to co-operate in the interests of communities and communities being demoralized to participate in matters of governance?

It is argued that the answer to this question lies in what is best described as an **"organogram view"** of the organisation. In this conceptualisation, the organisation is understood as being made up of independent departments that must perform their own functions and are accountable to the Head of the whole administration. Furthermore this view argues that the organisation as a whole can be successful if each unit performs its own functions successfully.

The wrong assumption to be exposed here is that the organogram is a model for undertaking **both** the functioning and the management of the organisation. It is important to recognise that the organogram shows only the lines of authority or the reporting lines and should therefore be used for this purpose only.

An alternate view (and one advocated in this organizational design analysis) is the **"system view"** of the organisation. In this view, the organisation is viewed as a *chain of interdependent resources that work together* to deliver an integrated output that is able to

satisfy the needs of service users. Individual units are viewed therefore as a resource in the chain that supplies outputs to the next resource in the same chain.

There will therefore be a supplier-customer relationship within the same output unit/branch/department. If this understanding of the organisation is accepted, then measurements will not be based on measuring localized efficiencies of parts of the chain in isolation. Rather, measurements are based on how well each resource has contributed to the overall effectiveness of the entire chain that delivers outputs that satisfy customers needs.

This is an important point to understand. It is not that our officials have deliberately been doing the wrong things or doing them in the wrong way – but that the system under which we have been forced to work has entrenched such organisational behaviour.

3.5. Reductionist Thinking

It has been established, through this research that there are different structures established by communities themselves. These structures are not regarded as legitimate structures because according to the Municipal Structures Act of 1998, Ward Committees are the only legitimate structures for community participation. I congratulate civil society though for taking initiatives in putting in place structures that serve as platforms for community participation. Coming back to the point I want to make, reductionist thinking has been reflected in handling or dealing with community participation. This stems from the fact that ever since there were local government elections in December 2000, the Municipality has not given any direction to civil society as to what type of structures must be in place to ensure that communities participate in matters of governance. Instead Community Participation and Action Support Unit was established. I am not against the establishment of such unit, but I believe that it is not a complete system that ensures effective community participation. Due to the incompleteness of the system, decisions taken are overly narrow and thus ineffective in addressing real problems or needs of the community. Indeed, once the problem is 'addressed' at a shallow level, it is going to re-emerge soon. Also if the

context or situation that gave rise to the problem is not changed, then the problem would still be 'invited' by that context.

4. The Direction to the solution

In the previous section I have completed an analysis of the core problem that my municipality is faced with. This has been done through an uncovering of our municipality's current behaviour, the negative results of this behaviour and its underlying causes. Past and existing mindsets / assumptions, policies and measurements have been examined. In this section the direction of the solution begins to emerge:

Start with making new assumptions & engendering new mindsets → develop new policies and terms of references that are aligned community participation and with our new Vision → implement a new system of measurements → change the way we plan, budget & implement development → move closer to our goal !!

4.1. Making new assumptions & engendering new mindsets are the beginning of the process

The city's organizational design has to be informed by a holistic and results-based way of thinking. eThekweni municipality defines itself as a dynamic organization made up of a **chain of interdependent resources** whose purpose is to provide services that **satisfy customer's needs** and thus contribute to **improved quality of life**. This is a promising definition in terms of systems thinking.

With regard to the **rules / policies/ byelaws** of our municipality, the new mindset is one that regards such rules as an important condition for fulfilling the new purpose - which is now about meeting community needs and ensuring that communities participate effectively. However, these rules will need to be seen in the context of putting people (customers) first

- *Batho Pele* and meeting customer's needs. **Hence rules have to be written around community needs and give space for community participation.**

The new policies will allow **new measurements to be developed that focus on results to be achieved** - i.e. outputs that ensure citizens participation and satisfy customer's pre-determined needs.

In the new way of doing business, the **measurement of managers has to be based on how well they involve communities** and thus, how much closer they take our municipality to our goal.

City's new policies have to now allow the budget to be allocated to the process owner i.e. the person who is finally responsible and accountable for delivering the output to the customer. The units or departments that contribute to the output treat the process owner as the customer. These departments are all part of an interdependent chain of resources rather than independent units. In this way, **budgeting for results** – rather than individual activities is ensured.

4.2. Overhauling the way the organization is designed to encourage a new behaviour that promotes community participation, integrated and holistic development

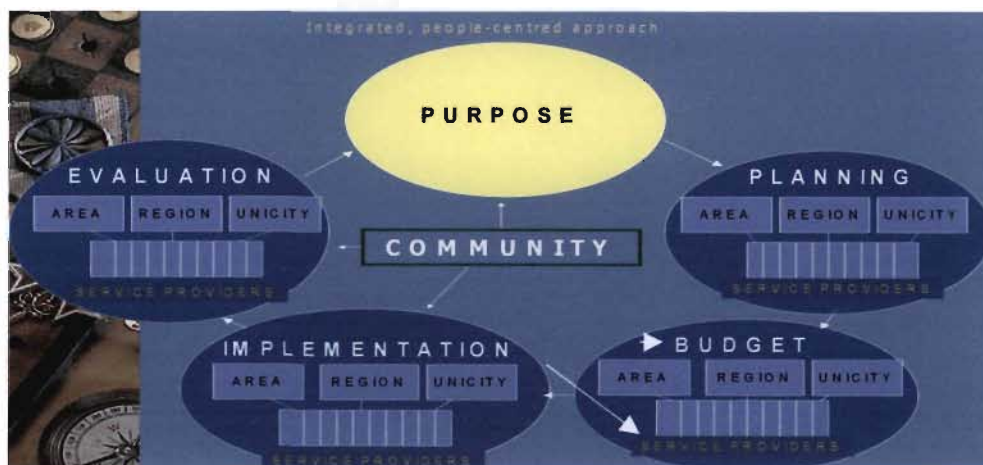


Figure 7: The New Design that ensures community participation

Source: eThekweni Municipality Transformation Plan (2002)

In the proposed organizational design, all aspects of the development cycle (planning, budgeting, implementation, evaluation) will no longer happen in the various silos, independently from each other. Communities must be involved in all stages.

Instead, the new organisational design will ensure that the cycle of service delivery now happens at three different levels. At the highest level the City Manager and his Strategic Team will be responsible for city strategic development planning, budgeting and implementation. This Team will therefore ensure that an overall plan for the city is in place and will prepare a city-wide budget that protects the interests of the city's strategic assets are prepared.

What is fundamentally different in the organizational design is what happens at the local level. It is proposed that local end-users from the community (through highly organised Ward Committees) will be directly involved in the planning process. **They will determine their local needs, and together with the councillors of their area and relevant officials, they will prepare local community action plans.**

In addition to this council commitment, community structures will be encouraged to mobilize external funding to complement council expenditure. Other creative mechanisms to ensure the maximisation of limited resources will also be explored e.g. sweat equity, etc.

The concept of "area-based management" (ABM) is borne out of the realization that to make local governance really happen we need to be closer to our citizens. ABM helps us ensure that there is effective co-ordination of service delivery and will be an excellent vehicle to ensure communication between the citizens and local government.

ABM also serves as a tool to help us put into practice our new philosophy that citizens themselves must take action to ensure that results are achieved in their communities. ABM allows us to develop local, unique and creative problem solving approaches.

5. Conclusion

This chapter has done a thorough systemic organizational analysis. What is clear is that for eThekweni Municipality's organizational structure to be effective, it needs to take into account all issues presented in this chapter. In concluding this section, I need to stress that the issue of mindset plays a vital role in getting things done and things not done. In this case if the mindset that influence policy formulation process can take the issue of community participation seriously, then the whole organization will indeed do its business in a manner that takes participation as the integral part of doing business.

The next chapter will look at policy framework borne out of this research project.

Chapter 6

Community Participation Policy

"Government needs to establish the mechanisms for direct local governance such that the citizens' demands are responded to with immediacy" (Goetz & Gaventa, 2001).

1. Introduction

This chapter presents recommendations in a form of a policy document. This policy document will be adopted by the Council since the research I have done is much related to the work I am currently doing. The following clauses are policy statements that seek to address concerns raised during the study.

2. Purpose of this policy document

The main purpose of the Community Participation Policy is to provide guidelines for increasing the level of active citizen participation in the decision-making process of local government and to create an enabling environment for civil society in which ordinary citizens and social groups may find platform upon which they voice out their concerns and take part in the fundamental decision making on issues that affect their lives. Specific objectives of this policy entail the following: First, **strengthening democracy** by increasing participation of citizens in local government's decision-making. Second, **developing mutual** trust between citizens and local government officials and Councillors. Third, **improving communication** to allow citizens to have access to information and to feedback to the local government. Fourth, **keeping local government abreast** of citizens' needs, which enables the creation of an environment where local government resources are directed to meet these needs. Fifth, encouraging public-private partnerships and civic initiatives. Sixth, promoting programmes for skills capacity enhancement of local government authorities and citizenry.

3. Desired Outcomes to be achieved through this Policy

After the joint implementation of this Policy and its subsidiary documents, namely; Rules regulating establishment and Operation of Ward Committees; eThekweni Citizens' Charter; Community Participation and Action Support Strategy as well as planned projects and

programmes, the six outcomes shall be realised. Firstly, citizens utilising their skills and abilities to improve their quality of life, with the support of the municipality and other development agencies. Secondly, citizens who have full access to local government and able to engage meaningfully with and influence local governance policy, planning, budgeting and decision making processes. Thirdly, youth, women, aged and disabled people empowered to participate effectively in the social and economic development of their lives. Fourthly, Municipal supported, community driven, functional, democratically elected civil society stakeholders participation structures with equitable representation at ward, zonal, regional and citywide levels. Fifthly, well-informed consumers receiving municipal services delivered in line with the eThekweni Municipality Citizen Charter that is based Batho Pele principles, consumer rights, and the local government legislative and policy framework. Lastly, Citizens who are proud of their city and willingly honour their civic duties of contributing to community development and the sustainability of their local government.

4. Practice Principles for community participation

Principle 1: Structured participation

Participation in matters shall state clear rules and procedures specifying who is to participate or to be consulted, on behalf of whom, on which issue, through which organisational mechanism, and with what effect. Community Participation and Action Support Unit shall provide this service to all units within the Municipality.

The issue at that given time shall determine rules and procedures specifying who is to participate or to be consulted.

Representative structures like Ward Committees, Zonal Stakeholders Forums, Area Stakeholders Forums or Citywide Stakeholders Forums and Party Caucuses shall be the main organisational mechanisms for participation.

Structures like Izimbizo, Public Hearings, Indaba, Conferences, Workshops, Road Shows, Sectoral Forums and other relevant structures shall be other organisational mechanisms for participation.

Principle 2: Clarity of Purpose

The Council shall clarify the purpose so that communities understand clearly why the engagement is occurring, and its context, in order to plan and resource an effective process. This shall include desired outcome and indicate who should be engaged to achieve the purpose. Clarity about how participants can influence the decisions that may be made and, equally important, what cannot be influenced shall be given.

Principle 3: Commitment

The Council shall show commitment by allocating sufficient time and resources to the community engagement processes. Senior level leadership's visibility shall be ensured. Community engagement is viewed as integral to municipal normal development assessment and plan making practices and operations.

Principle 4: Communication

Ethekwini Municipality shall communicate openly, honestly and accountably with those who are seeking to engage or to be engaged. Communication shall not only include information dissemination but also information gathering, information sharing, collaborative discussion and decision-making.

Information shall be given in the language that the audience is familiar with.

Principle 5: Flexibility and Responsiveness

The Municipality is prepared to continually review and revise the way communities are engaged during participation processes. Selection from a range of techniques that enable different communities or sectors to participate effectively shall be applied.

Principle 6: Timelines

Ethekwini Municipality shall ensure that participants receive prior information in time so as to make effective and meaningful contributions.

Participants shall be informed as to when they can expect feedback on their contributions.

Feedback shall be given to the participants with set timeframe.

Principle 7: Inclusiveness

Ethekwini Municipality shall strive to be as inclusive as possible.

Particular attention shall be paid to the needs of groups that tend to be under-represented (women, youth and disabled persons) in an engagement associated with development assessment and plan making.

The Municipality shall by all means simplify jargon and technical language so that it can be well understood.

Principle 8: Collaboration

The City shall aim for a participatory approach to development issues and plan making, particularly in larger, more complex processes. This shall be done by involving the community as early as possible in the process. Further it shall be done by working closely with other agencies operating in the area to avoid repetitive consultations with a community on the same or similar subject matter.

Principle 9: Diversity

Public participation shall be structured in a way that provides sufficient room for diversity i.e. for different participation styles, cultures and location specific adjustments.

5. Citizens Participation levels

Communities shall participate at different levels that are appropriate for that given issue.

5.1. Active citizenship

Active citizenship means sharing the authority on the basis of which administrative agencies carry out legislative mandates. It goes beyond voting, paying taxes, or using

government services. The City shall through community mobilisation programme encourage communities to be active citizens.

Communities shall ensure maximum democratic accountability of the elected political leadership for the policies they are empowered to promote. Ethekewini Municipality shall partner with relevant service providers to ensure that eligible community members are voting.

As participants in policymaking, citizens shall express via different stakeholder forums, their views before, during and after the policy development process in order to ensure that policies reflect community preferences as far as possible.

Citizens are called upon to be more than voters, by helping to identify important issues, to help carry out solutions, and to judge whether results have been achieved or not.

5.2. Citizens as owners or shareholders

Communities are viewed as the “owners” of government. Through their rates payments, citizens are investors in local government services and municipal owned assets.

Through their votes, citizens are shareholders who elect the “boards of directors” responsible for government performance. Councillors are the people’s stewards not only to manage finances but also to produce results. An “owner” wants to know whether government is getting the job done.

Through rates, they invest in public services and assets. Communities are shareholders: through their votes, they elect the board of directors or Councillors who govern. Representation through political party candidates shall cater for this.

5.3. Citizens as customers or consumers

Communities are principal users and clients of municipal services and shall be treated as valued customers by the Municipality. This shall be done by practising *Batho Pele* principles and through City’s Customer Care Centres.

5.4. Citizens as policy makers and issue framers

Communities are vision builders: helping define desirable future and strategic plans. Communities through Ward Committees and other set up structures shall contribute by providing advise to municipal policymaking process.

5.5. Vision Builders

Citizens shall contribute to the improvement of their lives by being visionaries for their communities. They can do this by articulating a desirable future and broad strategies to get there as part of community visioning and strategic planning. Ethekwini Municipality shall utilise Community Based Planning as the methodology that effectively facilitates local vision building.

Active and engaged citizens shall contribute new ideas, add legitimacy to the process, and add energy for follow up on the results obtained in such community visioning processes.

5.6. Citizens as service quality evaluators

As primary users of local government services, citizens are best placed to assess their quality and effectiveness. Communities shall be expected to participate in Quality of Life Survey conducted by the Municipality. Community participation in this regard shall be to validate or nullify the findings of the survey.

5.7. Citizens as co-producers of services and co-mobiliser of resources

Citizens and their formations are direct providers of community services on both paid and voluntary basis in cooperation with the municipality. Community Based Planning shall ensure that citizens fulfil their duty of being co-producers of services and co-mobiliser of resources.

5.8. Citizens as independent outcome trackers

Communities may measure national, provincial and local issues independently of government.

Citizen groups may select desirable outcomes for their community and systems to track and publicise measured conditions and trends.

These groups follow various themes, such as healthy communities, quality of life, and sustainable communities.

Grassroots measurement by citizen groups is more likely to be independent and oriented towards actual community well-being outcomes.

6. Processes of community participation

6.1. Information

Communities and citizens shall be informed about the intentions of the authorities.

The Municipality shall use this process with the objective of providing balanced and objective information.

The promise to the public is to keep community and citizens informed.

Methods and tools shall include informative meetings, public notices, website, written information and audiovisuals.

6.2. Consultation

Ethekwini Municipality shall use this process with the objective of obtaining community and public views, opinions and feedback from the community.

The promise to the public is to keep community informed and act on their concerns and some of their opinions. The input shall provide the authorities to rethink the projects, thus re-adjusting it as needed.

Methods and tools shall include public hearings, public meetings, workshops, izimbizo, community panel, focus groups, community information and feedback session, facilitation, questionnaire and website.

6.3. Involvement

This process entails working with public regarding verifying facts and ideas gathered and test some of assumptions and pre-understanding before any decision is made.

Ethekwini Municipality shall use this process with the objective of working with public throughout the process.

The promise to the public is to ensure that community is involved in the process.

Methods and tools shall include facilitation, planning focus meeting, precinct committee and project steering committee.

6.4. Participation

Here it is referred to active participation where all stakeholders, citizens and communities are involved. Consensus or decisions arrived at receive legitimacy and mandate. Instead of local government coercing compliance, stakeholders comply voluntarily and commit themselves to the agreement.

Ethekwini Municipality shall use this process with the objective that community participates in every step of decision-making.

The promise to public is that community must be part in formulating solutions.

Methods and tools shall include advisory committee, round table, meeting and conference.

6.5. Empowerment

Here community and citizens who are purported to benefit take control over the realisation and implementation process. Because they have been involved in the entire process, they full understand the relevance and importance of the matter to be addressed.

Ethekwini Municipality shall use this process with the objective that community carries out decisions and plans. Community Based Planning is one of the empowering programmes that the City has.

The promise to the public is that community implements decisions independently hence dependency syndrome is eradicated.

Methods and tools shall include working group, search conference, prioritisation and visioning meeting, mapping, community feedback meeting, operational planning and public meeting.

7. Non-negotiable and negotiable issues

As much as the Municipality advocates active participation which involves negotiations, it is however very important to distinguish issues that can be negotiated and issues that cannot be negotiated.

Non-negotiable

Non-negotiable issues are those relating to provision of basic services *inter-alia*: Water and electricity supply; Waste disposal; Safety and Security; Safe Environment; Health Services; Efficient Road and Transportation Services and Housing.

The Municipality is expected in terms of Chapter 7 of the Constitution to provide the above services. The City shall therefore not enter into discussions with anyone on whether these services are provided or not. Negotiations around the provision of basic services shall be on how these services shall be delivered.

Negotiable

In development of culture of community participation Ethekwini Municipality shall encourage and create conditions for the communities to enter into negotiations in the affairs of the Municipality.

Issues prescribed in any Municipal Legislations shall be open for negotiations as a matter of compliance. These issues include: The preparation, implementation and review of its IDP; The establishment, implementation and review of its performance management system; The monitoring and review of its performance, including the outcomes and impact of such performance; The drafting of by-laws; The discussions and decisions on the budget; The drafting of performance management system and Strategic decisions relating to the

provision of municipal services including the decision to enter into an external service agreement.

8. Channels and Mechanisms for community participation

eThekweni Municipality shall create an environment that promotes active participation. Channels and mechanisms shall include the structures at ward, zonal, area and citywide levels.

8.1. Ward Level

a. Ward Committees

eThekweni Municipality shall develop rules regulating the establishment and operation of Ward Committees. The Council must adopt such rules.

Ward Committees shall be taken as the legitimate statutory platform for community participation. The object of a Ward Committees is to enhance participatory democracy in local government.

Ward Committees shall be advisory bodies; independent and must be impartial and perform their functions without fear, favour or prejudice.

Ward Committees shall drive Community Based Planning and other local developmental projects.

b. Ward Sector Forums

Each Ward Committee may decide to have Sector Forums within a ward. These Forums shall be composed of individuals and organisation with common interests.

Ward Sector Forums shall be IDP outcomes or social interest based.

Relevant stakeholders with the help of Community Participation and Action Support shall draw terms of references for Sector Forums.

c. Ward Forums

Ward Forums shall be advisors to the Ward Committees and Councillors on matters pertaining to support required to enabling end-user groupings to work through self-mobilization.

They shall liaise, negotiate and co-operate with Ward Committees to clear any problems faced by end-user groups and service delivery agencies in the implementation of a people-driven development projects and programmes within the ward arising from the local area framework plan of the IDP.

8.2. Zonal Level

Zonal Stakeholders Forums

Zonal Stakeholders Forums shall provide Ward Forums and end user groups an opportunity to meet and tackle problems relating to a specific area.

They shall provide space for the Councillors, and user groups and Ward Forums to address ways and means to include all organs of civil society in the community, including the weak and unorganised, organised but weak, and organised and strong organs of civil society.

Also they exist to build partnerships and ensure effective collaborative actions with other areas to ensure co-ordination of development.

8.3. Area Level

Area Network

This shall be convened as and when necessary. The aim of this structure is to create a space for neighbouring areas to network and share experiences. Furthermore, it aims at helping the Municipality to convey information or consult in a broad manner.

8.3. Citywide Level

a. Stakeholders Forum

This shall be a consultative forum that shall engage on issues pertaining to policy development and strategic issues impacting on the city.

Community-based organisations, non-governmental organisations, organised business, organised labour, tertiary institutions, parastatals, provincial government and other relevant stakeholders shall be invited to this forum.

b. Citywide Sectoral Networks

These structures shall be informed by city's outcomes stipulated in the Integrated Development Plan. City's senior managers responsible for respective outcomes shall convene all those who are interested in a particular outcome.

This shall be a loosely, structured, inclusive network of multiple stakeholders responsible for citywide partnerships, dialogue, debates and community action.

There shall be no single centre of power, command or control in how the network functions. Involvement of all stakeholders shall be based on their interest on the issue(s) at hand.

The Network shall meet as and when the need arises based on diverse issues requiring collaboration at a regional level.

The Network may be used as a pre-Big Mama conference where stakeholders get to know issues for discussions at the Big Mama. It shall also be used as a pre-Council briefing where members of public get to know issues for discussions at the next Council meeting.

9. Rights and duties of stakeholders

9.1. Community

The emphasis on good governance and local authority is not understood as disqualifying ordinary citizens from duties and responsibilities. The fact that the citizens are involved in setting up a government through the vote implies that they are responsible for and are willing to confront the consequences of their actions (by voting that particular party to power).

Community members have right and responsibilities to: firstly, contribute to the decision-making processes of the municipality; secondly, submit written or oral recommendations, representations and complaints to the council or party caucuses or the Executive Committee or the Community Participation Unit of the municipality; thirdly, prompt responses to their written or oral communications, including complaints to the council or to another political structure or a political office bearer or the administration of the municipality; fourthly, be informed of decisions of the council, or Executive Committee or support committee or sub committee or administration of the municipality; fifthly regular disclosure of the state of affairs of the municipality, including its finances; sixthly, the use and enjoyment of public facilities; and lastly, have access to municipal services which the municipality provides.

Community members have the duty when exercising their rights. Firstly, to observe the mechanisms, processes and procedures of the municipality. Secondly, to obey all government laws that do not conflict with her/his conscience and those which do not violate the person's human and fundamental rights. Thirdly, to allow municipal officials reasonable access to their property for the performance of municipal functions. Fourthly, to accept the basic structures and principles that make society function properly. Fifthly, to fulfill his or her dues in terms of paying taxes and all forms of fiscal obligations, which enhance performance of a democratic government. Sixthly, to observe the rule of law, tolerance, equality of opportunity. Seventhly, to profess and protect democratic principles, freedom of speech, freedom of linguistic and cultural orientation and equality of the different ethnic origins and sexes. Eighthly, to acknowledge that expressing own culture and beliefs is related to the responsibility to accept the right of others to express their views and values. Ninthly, to enrol in the Electoral Register and vote at all levels as means to safeguard

democracy. Lastly, to denounce all forms of unlawful behaviour and corruption as well as any potential detriment to the wellbeing of fellow citizens.

9.2. Political and Administration Officials

Local government is in the forefront of ensuring that citizens' rights are well safeguarded. Officials are the government's direct contact with citizens at grassroots level. Section 152 of the Constitution assigns the objectives of the local government as: first, to provide democratic and accountable government for local communities; second, to ensure the provision of services to communities in a sustainable manner; third, to promote social and economic development; fourth, to promote a safe and healthy environment and last, to encourage the involvement of communities and community organisations in the matters of local government

eThekweni Municipality's officials from all units shall ensure that the above objectives are met. This shall be done by approving and implementing programmes and projects that are inline with the above objectives. These programmes and projects are outlined in the City's Integrated Development Plan.

9.3. Civil Society

Civil society shall play a role in that it shall engage the government from an independent point of view. It shall be the voice of the voiceless in dictatorial systems, where it champions the culture of human rights. It shall denounce corruption and unlawful practices within local government and public services in general. Civil society shall promote integration, concrete application and enforcement of civil, political, economic, social and cultural rights, including labour rights, the right to development, as well as the principle of non-discrimination. Civil society is viewed as a partner in promoting social justice in that it shall assist the municipality in addressing issues of poverty reduction, gender equality, people with special needs and disability, labour rights, indigenous people's cultural rights, education and illiteracy, and so on.

10. Participation Institutionalisation

eThekweni Municipality shall facilitate participation through Community Participation and Action Support Unit. All units however, shall ensure that communities and stakeholders are

involved in Council business. Units shall do the above by notifying Community Participation and Action Support Unit of issues, projects or programmes where communities or stakeholders have to participate. Community Participation and Action Support Unit shall upon the receipt of notification partner with the unit concerned and develop participation plan.

11. Capacity Building

eThekweni Municipality shall capacitate members of the community structures, relevant end-user groups, councillors, amakhosi and officials to be effectively involved in community participation. This shall be done by rolling out the training Programme tailor-made for these stakeholders. The training programme shall help local community and their organisations, to enable it to participate in the affairs of the municipality, albeit not implying disturbance of daily activity of municipal administration and Councillors and staff, to foster community participation. Internal capacity within Council shall be built to roll out the training Programme to all stakeholders.

12. Supporting community initiated development activities

The Municipality shall enter into partnerships to promote emerging businesses, support non-governmental organisations and community-based organisations, mobilise private sector investment, and promote developmental projects which are initiated but not necessarily financed by local government.

The Municipal Business Support, Grant-in-Aid and Poverty Alleviation programmes are support methods that shall be closely monitored to ensure the sustainability of initiatives benefiting from these programmes.

13. The Citizens Charter

EtheKweni Municipality shall develop and adopt a Citizens Charter as a *canon* with which the Municipality can gauge its performance and service delivery to the satisfaction of its citizens who are its customers.

The Charter shall aim at firstly, informing the public in detail on the kind of services the city provides. Secondly, defining and publicise standards of services. Thirdly, being easily

accessible and friendly to the citizens and to provide adequate information. Fourthly, explaining the options afforded and give correct advice to the public and lastly, being courteous and forthcoming in providing services and to rectify mistakes.

14. Community Participation programmes ensuring local governance

Programme 1

Strategic Goal: Effecting a behaviour change to a state where both elected representatives and administration council officials work with communities in the ICICE mode, namely, Inform, Consult, Involve, Collaborate and Empower.

This programme's key actions shall include:

Firstly, raising awareness on the Guiding Practice Principles for Effective Community Engagement (Clarity of Purpose, Commitment, Continuous Learning, Evidence, Timeliness, Flexibility and Responsiveness, Inclusiveness, Collaboration, Diversity and Communication). Secondly, planning and implementing annual participation plan targeting key stakeholders including Councillors and their Party Caucuses, Business people, Community-based organisations, non-governmental organisations, organised labour, tertiary institutions, parastatals and general public. Lastly, Building into service level agreements clauses related to community participation and *Batho Pele*.

Programme 2

Strategic Goal: Ensuring that the doors to the local government political and administration structures are open to all members of the community all the time.

This programme has two key actions. Firstly, enhancing civic education that highlights how local government works, voter education especially for the youth who are voting for the first time. Lastly, encouraging the use of community structures especially Ward Committees as the theatre for deepening democracy in decision-making and accountable leadership practice.

Programme 3

Strategic Goal: *Creating mechanisms, processes and procedures that enable the local community to hold their local government democratically accountable, contribute to policies that are being developed, and participate in planning and budgetary processes.*

This programme has three key actions. Firstly, initiating, coordinating and supporting the setting up of credible stakeholders participation structures based on agreed terms of references. Participation structures shall range from ward to citywide levels. Secondly, convening pre-Council meetings for members of public who have interest in attending Council meetings. These pre-meetings shall serve as mechanisms where the public gets to know what issues will be discussed in the forthcoming Council meeting. The Speaker or his or her nominee(s) and or Party Caucus Leaders shall attend these meetings so that members of the public can lobby and influence political leadership. Lastly, facilitating capacity building programme that empowers participation structures and relevant stakeholders to be able to influence decision-making processes.

Programme 4

Strategic Goal: *Inculcating a positive consumer care culture within the municipal services delivery system and promoting a reciprocal consumer responsibility among citizens.*

This programme's key actions shall include firstly the creation of the Customer Service Centres, Citizens' Charter and Community Batho Pele Education Campaign to raise the awareness of communities on the principles of putting People First and lastly, revitalisation of Batho Pele into a Change Engagement Programme premised on fundamental change management principles and norms.

Programme 5

Strategic Goal: Establishing and sustaining an enabling support programme for citizens to take action, mobilise resources and make development happen in their communities.

This programme's key actions shall include publishing and conducting Stakeholders Capacity Building Programme with a focus on Community Development, Leadership and Conflict Management Skills, Understanding Your Municipality, Integrated Development Planning, Community Based Planning, Community Participation, Advocacy and Lobbying, Communication, Local Governance and Socio-Economic Rights, Municipal Administration and Finance and Community Policing Forum and

15. Participation tools and techniques for Good governance

There are different tools and techniques for community participation in dealing with different aspects of local governance. Ethekewini Municipality shall use the toolbox hereunder.

15.1. Tools

- a) *Local government newsletter: Ezasegagasini*, issued on a regular basis, which contains most important information on activities within the local government.
- b) *Utilizing media* through press conferences, press releases, inviting them to important events.
- c) *Feedback channels* such as letters and phone calls from citizens (e.g. toll-free phone lines); complaint/comments boxes in public places; establishing and responding to a special e-mail address for comments. The most important issue here is to manage properly the comments received by citizens: a return message or a card should acknowledge those who sent the comment. The Municipality may report in the media or other public source on the type of comments received and actions undertaken to address the comments.

- d) *Informational brochures*, such as general brochure that contains general information on city authorities, telephone numbers, working hours, organizational chart, board, council, committees, advisory groups, etc. Such a brochure can be distributed among citizens along with local newsletter or placed in public buildings.
- e) *Talk shows and/or interviews* in local television or radio on the most important local topics. If possible, there should be an opportunity for citizens to call local government officials who appear on TV or radio directly and ask questions.
- f) *Public hearings* on different topics, for example, on budget planning. It is important to thoroughly prepare for the hearing by arranging for an appropriate facility, thoughtful presentations, rules for the meeting, and a good facilitator.
- g) *Methodology of conducting meeting with citizens*. In order to hold and conduct meetings efficiently, an appropriate room and agenda should be prepared, and facilitation with tools like a flip chart or other visual aids should be used.
- h) *Youth city and ward forums*: to involve young people in local government activities and teach them about democracy and its values.
- i) *City festivals, city days*: these are good tools to integrate citizens to the entire community, especially if they are involved in preparation of the event.
- j) *Task forces*: utilized in different areas, e.g. area of economic development to prepare an economic development and various strategic plans.
- k) *Special competition or contest activities* deliberately designed to support the community-based strategic plan preparation process; that might be organized for young people to draw their attention to city activities and to collect their opinions for the future of the local government.
- l) *Frequently asked questions (FAQ)* – published in media, Internet or brochure, with answers to the questions most commonly asked by citizens.
- m) *General public surveys*, which can identify priorities of the public or gather more precise information on a particular subject. The most important part of surveying is analysis,

which should not only count answers but also analyze the relationships between different types of answers. Only such an analysis provides real knowledge on the situation.

- n) *Local partnership programs.* This often takes the shape of a contest designed for citizens groups or NGOs, focusing on a ways to address a particular problem. It requires a clear statement of rules including the criteria for the competition and the evaluation of project proposals submitted by applicants. This is a good way to directly involve citizens in solving local problems by putting their own resources house.
- o) *Citizens' charter.* The citizens' charter would take the form of an oath or a pledge by all stakeholders.
- p) *System for rewarding civic initiatives (Mayoral Awards).* This tool ensures acknowledgement of good work done by individuals or groups in development.
- q) *Mayor's message on the budget.* Materials prepared to facilitate discussions on the budget before the council adopts it. This shall explain local government priorities and constraints of the budget.
- r) *Budget-in-brief.* Short version of the local budget written in clear language, understandable to local citizens. Usually, this type of document consists of an introduction by Mayor in which he/she explains the city's priorities and the most important issues in the budget. This is followed by an explanation of the sources of revenues and expenditures, perhaps divided by program or department. Special attention in the Budget-in-brief is devoted to capital expenditures. A budget-in-brief brochure also contains general information on the local government, such as the members of the council, the administrative structure, or other explanations of the budget document.

15.2. Techniques

Ethekwini Municipality shall select appropriate techniques that fit different contexts and circumstances where participation has to take place.

a. Passive Public Information Techniques

This category involves methods whereby communities or citizens are just recipients. Communication or information flow is unidirectional from the source to target recipient (reader, audience, etc.). In this fashion, the public or citizens are just recipients and do not have time to interact or respond to messages. Typical examples would be fact-sheets, brochures, newsletters, television programmes, radio programmes, billboards, etc.

b. Active Public Information Techniques

The essential feature is that the public or citizens have allowance to respond and interact with the source of information or messages. Examples may be found in social briefings, civic clubs, central information contacts, information hotlines, open houses, etc.

c. Small Group Input Techniques

These involve methods such as interviews, focus groups, coffee klatches, small meetings, etc. Small group meetings tend to have very relaxed ambience, therefore well-open to elicit valuable information and constructive input.

d. Large Group Public Input Techniques

This category of techniques involves methods that engage large crowds and gatherings. Among others are response sheets, mailed survey questionnaires, Internet polls, public hearings, computer-based participation, workshops, izimbizo, etc.

e. Small Group Problem-Solving Techniques

These are techniques used to foster public participation in problem solving processes. They usually comprise, charrettes, community facilitators, mediation or negotiation, consensus building techniques, focus groups, tasks forces, stakeholder panels, etc.

f. Large Group Problem-Solving Techniques

These are techniques used to solve problems affecting large groups of people or communities. They are specifically designed to facilitate processes in which all participants

have equal status. Among others are: electronic democracy, open-space technology, workshops, conferences, deliberative polling.

16. Conclusion

There are strong enabling circumstances for the establishment active citizen participation formation. Among others, legislative framework, stakeholders interests, harmonious community culture, local government's open-minded attitude, community's willingness to engage in matters that affect their daily lives, and optimistic attitude of civil society and donor organisations provide conducive climate for implementation of Ethekewini Municipality Community Participation Policy.

Chapter 7

Conclusion of the Study

1. Introduction

This aim of this chapter is to conclude the study. Before concluding, I will start by summarising what has been presented in this entire document. Thereafter I will deal with limitations of the study and its implications.

2. Summary of the work done in this document

This document has been developed as a result of the research project conducted from March 2004 to March 2005. The study recommended a policy which addresses almost all concerns raised during the study. In **introducing** fundamental policy components, the first point of departure is Section 152 (1) (e) of the Constitution which encourages the involvement of communities in local government. The second point highlights the vision of developmental local government which puts at participation at the centre. The other point is the purpose statement of the city which vividly state our facilitating role and our passion in creating an enabling environment for citizens to utilise their potential so that a better life all could be realised. The purpose statement of the City deals with community participation not as an add-on, but as a fundamental new way of doing business. The main **problem** found from the research is the unresponsive system of governance where there is no proper and effective communication between councilors, officials and community members. Hence the policy document aims at providing means for increasing the level of participation which will result in strengthened democracy, developed mutual trust between citizens and their city, improved communication, partnerships and informed local government and communities.

Practice principles fundamental in this policy include structured participation, clarity of purpose, municipal commitment through resource allocation and support, open communication, flexibility and responsiveness, timelines including feedback mechanisms,

inclusiveness and simplification of jargon, collaboration with other agencies with common objectives and sufficient room for diversity.

Different participation **levels** include active citizenship, citizens as owners or shareholders, customers or consumers, policy-makers and issue framers – through Ward Committees, vision builders through Community Based Planning, service quality evaluators, co-producers of services and co-mobiliser of resources and citizens as independent outcome trackers. **Processes** of community participation entail information, consultation, involvement, participation and empowerment. Appropriate level and process shall be applied. Issues relating to the provision of basic services as enshrined in the 7th Chapter of the Constitution are regarded as **non-negotiables** in terms of they are provided or not. Negotiations can only around the how part of the provision. **Negotiables** include the IDP preparation, implementation and its review.

There are different **channels** and mechanisms for community participation. These channels must start from ward to zonal to regional up to citywide level. At Ward Level, structures like Ward Committees, Ward Sector Forums (informed by IDP 8 outcomes) and Ward Forums must be established. At Zonal Level, structures like Zonal Stakeholders Forums need to be in place. At Regional Level, Regional Networks need to be convened. At Citywide Level, Citywide Stakeholders Forum (Big Mama) and Citywide Sectoral Networks (informed by IDP outcomes) need to be convened.

The emphasis on good governance and local authority is not understood as disqualifying ordinary citizens from **duties** and responsibilities. In this case communities, political and administrative officials and civil society have different **rights** and duties when it come to participation. Communities have a right contribute to the decision-making processes of the municipality at the same time they have a duty when exercising their rights, to observe the mechanisms, processes and procedures of the municipality and a duty to fulfill his or her dues in terms of paying taxes and all forms of fiscal obligations, which enhance performance of a democratic government. Political and Administration Officials have a duty of approving and implementing programmes and projects that are inline with the local government objectives set out in the Constitution. Civil Society has to play of being the voice of the voiceless in dictatorial systems, where it champions the culture of human rights. The other duty for civil society is to promote integration, concrete application and

enforcement of civil, political, economic, social and cultural rights, including labour rights, the right to development, as well as the principle of non-discrimination.

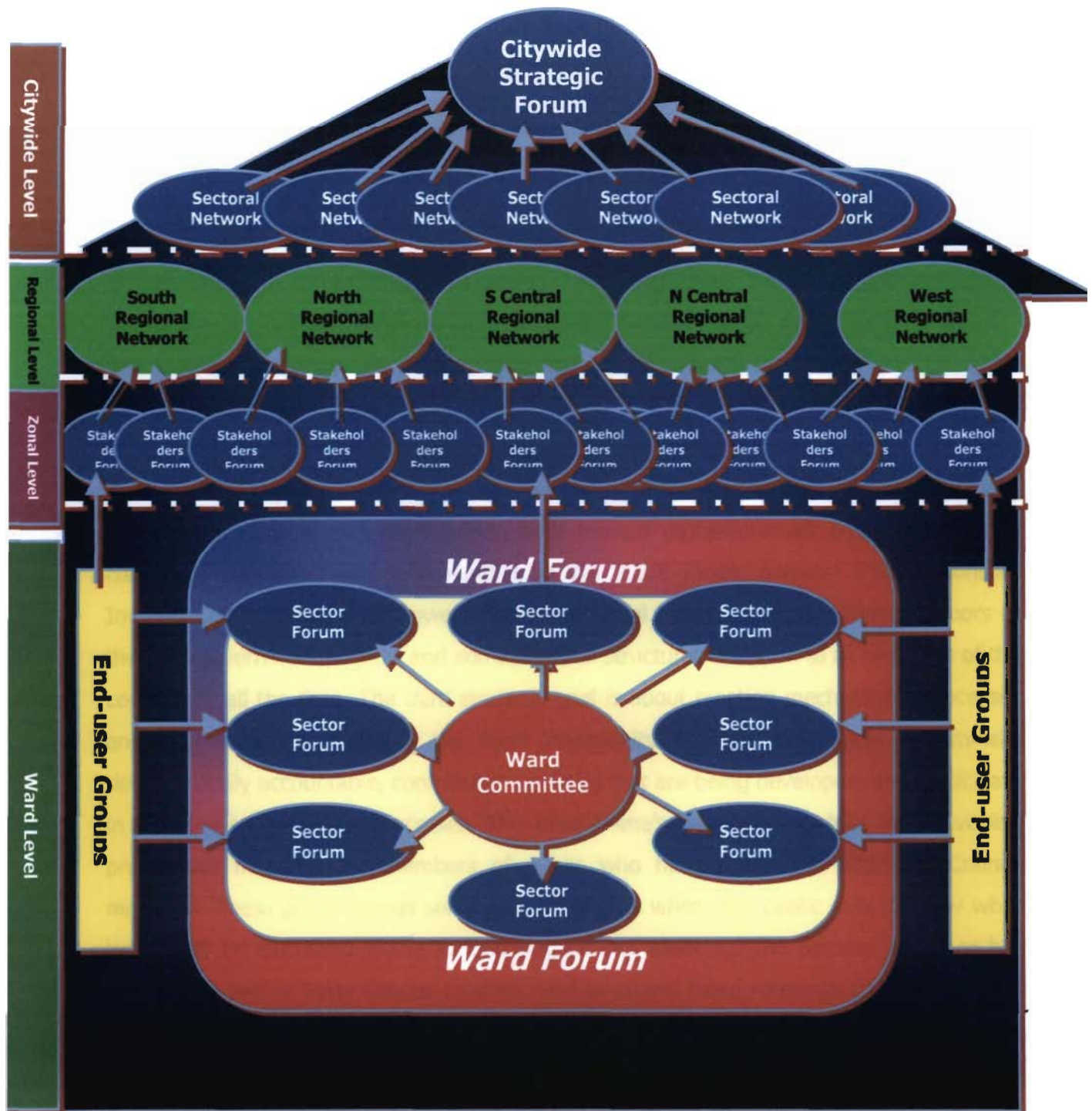


Figure 1: Summarised Participation Structures

Community structures, relevant end-user groups, councillors, amakhosi and officials must be capacitated so that they can be in better position to allow a space for participation and to participate. The Municipal Business Support, Grant-in-Aid and Poverty Alleviation programmes are support methods that shall be closely monitored to ensure the

sustainability of community **initiatives** benefiting from these programmes. The development and adoption of the **Citizens Charter** as a *canon* with which the Municipality can gauge its performance and service delivery to the satisfaction of its citizens who are its customers is critical.

Participation Programme is has five strategic goals. Te first strategic goal is about effecting a behaviour change to a state where both elected representatives and administration council officials work with communities in the ICICE mode, namely, Inform, Consult, Involve, Collaborate and Empower. The second goal is about ensuring that the doors to the local government political and administration structures are open to all members of the community all the time. The third strategic goal is about creating mechanisms, processes and procedures that enable the local community to hold their local government democratically accountable, contribute to policies that are being developed, and participate in planning ad budgetary processes. This programme's key actions include the convening pre-Council meetings for members of public who have interest in attending Council meetings. These pre-meetings serve as mechanisms where the public gets to know what issues will be discussed in the forthcoming Council meeting. The Speaker or his or her nominee(s) and or Party Caucus Leaders have to attend these meetings so that members of the public can lobby and influence political leadership. The fourth strategic goal is about inculcating a positive consumer care culture within the municipal services delivery system and promoting a reciprocal consumer responsibility among citizens. The last strategic goal is about establishing and sustaining an enabling support programme for citizens to take action, mobilise resources and make development happen in their communities. This programme's key actions include conducting Stakeholders Capacity Building Programme with a focus on Community Development, Leadership and Conflict Management Skills, Understanding Your Municipality, Integrated Development Planning, Community Based Planning, Community Participation, Advocacy and Lobbying, Communication, Local Governance and Socio-Economic Rights, Municipal Administration and Finance and Community Policing.

There are different **tools** and **techniques** for participation in dealing with different aspects of local government. This include newsletter, media feedback channels such as letters and phone calls from citizens, brochures, talk shows and/or interviews, public hearings, meeting with citizens, youth city and ward forums festivals, task forces, special competition or contest activities, frequently asked questions (FAQ), general public surveys,

local partnership programs. Citizens' charter. System for rewarding civic initiatives (Mayoral Awards, Masakhane Awards). Mayor's message on the budget and Budget-in-brief.

Ethekwini Municipality shall select appropriate **techniques** that fit different contexts and circumstances where participation has to take place. These include Passive Public Information like reading, Active Public Information like information hotlines, small Group Input like focus groups, Large Group Public Input like workshops and izimbizo, small Group Problem-Solving like community facilitators and Large Group Problem-Solving Techniques like conferences.

In **conclusion**, legislative framework, stakeholders interests, harmonious community culture, local government's open-minded attitude, community's willingness to engage in matters that affect their daily lives, and optimistic attitude of civil society and donor organisations provide conducive climate for implementation of Ethekwini Municipality **Community Participation Policy**.

3. Limitations of the Study

The extent to which I succeeded in this objective was of course dependent on willingness of the participants to engage in these kinds of exchanges. I have already discussed the implications of the study. In short there are changes taking place right now within the organisation.

4. Additional Lessons

Genuine citizen participation in local governance should ideally involve the community in decision-making on the identification of priority problems, the formulation of solutions, the implementation, monitoring and evaluation of actions, as well as the mobilization and management of resources. Most citizen participation processes tend to start and end at the issue identification stage.

Effective and inclusionary participatory processes require careful thought on who participates, how citizens participate or do not participate and why.

Citizen participation that consciously draws in and involves the under-resourced communities, marginalised citizen formations must have capacity building processes built into it.

Participatory local governance is all about power and changing power relations.

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Appendix 1

Participation Dynamics and issues on each Ward - Findings

This appendix present participation dynamics and Key Participation Challenges in each of the 6 Wards.

1. *Ward 11*

1.1. Participation Dynamics

A brief overview of the ward reveals a rich and varied range of citizen formations involved in a wide range of activities. Part of this is derived from the diverse race, class and cultural makeup of the ward. The areas within the ward differ in relation to the provision of infrastructure, community facilities, socio-economic status as well as issues relating to the meeting of basic needs. This in turn impacts on the kind of issues around which citizen formations mobilise. While Newlands is better resourced than other areas in the ward, there have been attempts to deal with issues relating to the improvement of the living conditions of pockets of poor people living within the area. The dominant citizen participation structures are Civic Associations and other forms of community organisations such as the Flats Groups – the key issues dealt with by these community organisations are crime, rates and housing and service delivery issues.

Siyanda and Richmond farm are informal settlements within the ward and the key participation structure is a development forum that deals with the broader development issues in these communities. The development committee struggles with the issue of representivity and is closely associated with the ANC. There are a number of other community based organisations, a smaller number of non governmental organisations and other citizen action groups but they generally do not cooperate on many issues.

There is significant participation in development issues by coloured communities in the ward with key issues being that of drug and alcohol abuse and domestic violence.

A brief overview of the citizen participation institutional makeup within the ward indicate that Development Forums, Civic Association and Ward Committees are the main kind of representative structures in the ward.

In Newlands the key organisations are the Newland East Civic Association and the Newlands East Development Forum which was established in 1978 and 1994 respectively. The Newlands East Civic Association has a leadership structure in the form of an executive committee of seven members. The executive serves a period of two years and is not representative of sectors but consists of members elected in their individual capacities.

In the case of these two organisations there is a significant overlap of activities and functions and this has led to a number of relationship problems, resulting in a break in active co-operation between the two, even though the civic is affiliated to the Development Forum.

The Siyanda Development Committee was established in 1998 and is dominated by supporters of the ANC and IFP.

1.2. Key Participation Challenges

Ward 11 has five key participation challenges. Firstly there is the lack of co-ordination between organisations with similar focuses and programmes. Secondly, there is a high level of mutual understanding between citizen organisations and the municipality, mainly due to the work and influence of the ward councillor. Thirdly, there is great enthusiasm and support for processes aimed at greater involvement of the public in participatory processes. Fourthly, the diverse ethnic and cultural makeup of the ward is a challenge in terms of the ability of organisations to be truly represent of all citizens within the ward. Fifthly, the high degree of political tolerance allows different political parties to work together although the

key challenge is getting citizens to participate beyond the confines of party political interest and affiliations.

2. *Ward 39*

2.1. Participation Dynamics

The key participation structure is a development committee. The development committee is relatively representative but is dominated by one party because of the political makeup of the ward. Previously, the development committee was elected by community structures and but currently, the ward councillor nominates the members of the development committee in a meeting with community structures. The community members do have the right of objection or recommendation during the nomination process, but the ward councillor is responsible for facilitating the election of the development committee.

The current development committee was elected in 2001. The committee has no constitution or written terms of reference and is formed by 14 members, including 4 political representatives. The development committee meets once a week and currently have a joint venture agreement with the Ward 40 development committee, with the joint venture known as the Siyanqoba development committee. The Joint venture is focussed on the upgrading of the hostel. The Ward 39 Development Committee is also organised into sub committees chaired by block chairpersons. This structure plays a major role in disseminating information to the community and is involved in a wide range of issue based activities, including that of liaising with the relevant housing authorities around housing issues, particularly rental housing, welfare, anti-crime, local transport planning, sports and health.

The Ward 39 development committee enjoys a relatively strong level of support despite it having a constituency that is very party political and which is drawn mostly from hostel residents in the ward. Despite the issues relating to its lack of representivity the development committee claims as its strengths the mobilisation of the community in support of the culture of paying rent, good liaison with government departments, regular updating of the community around development issues and good liaison with local stakeholders.

On the other hand, its weaknesses include that of inadequate writing skills, inadequate management skills on the committee and a lack of resources.

2.2. Key Participation Challenges

This ward has mainly four participation issues. Firstly, there is very little sense of ownership of development issues by citizens of the ward. Secondly, there is no relationship with the municipality, with little feedback processes. Thirdly, there is high employment rate. Fourthly, because hostel dwellers are the majority residents in the ward, there is a seasonal migration of people who do not identify the area as a permanent home.

3. *Ward 40*

3.1. Participation Dynamics

The key participation structure is a development committee that was established in 2001 with the current committee members being appointed in 2003. One party, because of the political makeup of the ward dominates the Development Committee. The committee was appointed by the ward councillor without the involvement of the community and is largely dominated by the supporters of the ward councillor.

The development committee has 11 members and does not have a constitution. The committee does not have a constitution and decision are made by consensus. The development committee meets once a week and does not have organisations affiliated to it. The current committee is particularly weak and does not appear to have any real and sustained contact with the ward community, leaving this largely to the ward councillor. Because of the almost complete reliance on the ward councillor for information, the entire liaison between the ward committee and the municipality happens through the office of the councillor, often bypassing the committee completely in the process. The committee suffers from a chronic lack of capacity and resources.

The development committee has a joint venture agreement with the Ward 40 Development Committee around the upgrading of the hostels.

3.2. Key Participation Challenges

Citizen participation is impacted upon by issues such as crime, youth unemployment and a level of resistance to become involved in participation, with this being seen as the preserve of the ward political representative. Other issues that impact on participation are: firstly, the weakness and lack of capacity of development committee. Secondly, total reliance on the ward councillor for information and contact with the municipality. Thirdly, there is lack of communication between the municipality and the community at the ward level. Fourthly, there is inadequate dissemination of development information. Fifthly, high levels of party political contestation that leads to instances of intolerance.

4. *Ward 41*

4.1. Participation Dynamics

The key representative structure is the ANC Branch Executive Committee which also assumes responsibility for development issues. The history of the ward is integrally tied to the political history of the area and this history shapes how citizens participate. There are other single issue interest CBOs and NGOs that tend to mobilise around very specific issues and interests. A mass community meeting is the predominant form in which the community comes together to discuss common issues.

ANC BEC drives the development in ward 41, which is in effect the dominant participation vehicle in the ward. Because card-carrying members of the ANC elect the committee, this raises very serious questions about its representativity and its ability to represent the interests of all the residents in the ward, even in the face of an overwhelming ANC political and electoral dominance.

4.2. Key Participation Challenges

The key issue is finding ways of ensuring greater representativity of participation structures and processes that are at the moment tightly controlled by the local ANC branch leadership.

5. *Ward 45*

5.1. Participation Dynamics

There are currently 10 Development Committees- one for each section. There are serious questions about the representativity and effectiveness of these committees. The key Ward level participation structure is a Ward Committee constituted by representatives of each of the sectional development committees.

The overall ward committee was formed October in 2001 with it being constituted by members of the sectional development committees which were established in June 2001. Each section development committee was elected by the community in that particularly section with there being no specific criteria used to elect members and with members not being elected on a sectoral basis. The overall ward committee has 5 elected office bearers with the additional members being made up one member each from each sectional ward committee.

The ward committee meets once twice a month and takes decisions by consensus, with no constitution. The ward committee and sectional committees are involved in a wide range of activities, including that of anti crime, welfare and nutrition, housing, local development projects and sports and cultural development.

5.2. Key Participation Challenges

Firstly, there is a lack of coordination between the different sectoral development committees. Secondly, there is a high level of mutual understanding and co-operation between citizens and municipality in some areas. Thirdly, there is a high level of leadership

shown by the formal business sector. Fourthly, despite the ward committee working relatively well, it is not representative of all the key sectors in the ward, with the youth being particularly absent.

6. *Ward 46*

6.1. Participation Dynamics

The key representative participation structure is a ward development forum that was formed in 2000 and is constituted by representatives of local area committees. The development committee is not representative of all community interests. There are other single-issue interest CBOs and NGOs that tend to mobilise around very specific issues and interests. A mass community meeting is the predominant form in which the community comes together to discuss common issues.

The ward development forum is formed by 24 members and does not have a written constitution operating principles. The Ward Forum meets weekly and takes decisions by consensus.

6.2. Key Participation Challenges

Citizen participation is impacted upon by issues such as crime, youth unemployment and a level of resistance to become involved in participation, with this being seen as the preserve of the ward political representative. Other issues that impact on participation are: firstly, a lack of communication between the municipality and the ward citizens. Secondly, inadequate dissemination of information on development issues. Thirdly, high levels of party political contestation that leads to instances of intolerance

Appendix 2

Rules Regulating the Establishment and Operation of Ward Committees

1. Introduction

Participation of communities in service delivery and development is central to government policy. Thus, Ethekewini Municipality has piloted Citizens' Action Support Programme to see models of community participation and partnerships emerging since 2003. The Constitution, together with various policies and legislation, has laid the basis for institutionalizing effective local governance wherein community participation features centrally. The Municipal Structures Act, 1998 and Municipal Systems Act, 2000 provided legislative frameworks for the establishment of Ward Committees. National guidelines provide clear steps that need to be taken into consideration when establishing Ward Committees. Most rules contained in this document take queue from National Guidelines.

This therefore serves as rules regulating for the establishment and operation of Ward Committees within Ethekewini Municipality.

2. Background to Ward Committees

The Constitution provides for objects of local government in Chapter 7 as follows:

- Provide democratic and accountable government for local communities;
- Provide services that are sustainable;
- Promote social and economic development;
- Promote a safe and healthy environment and
- Encourage the involvement of communities and community organisations in matters of local government.

This essentially means that in order for local government to achieve the above, it needs to work with communities. To take this further, the White Paper on Local Government introduced the notion of developmental local government, which further emphasized the

centrality of community participation in local governance. Subsequent legislation took the issue further by institutionalizing community participation. The Municipal Structures Act provided for the establishment of Ward Committees by municipalities. The Municipal Systems Act in the chapter dealing with community participation further entrenched Ward Committees as pivotal in our system of governance.

3. Definitions

In these rules a word or a phrase to which a meaning has been assigned in the Municipal Structures Act, 1998 and Municipal Systems Act, 2000, has that meaning, unless the context otherwise indicates. EThekweni Municipality defines Ward Committees as an apolitical ward management structure.

4. Purpose of these Rules

The purpose is to provide uniform and simplified rules and guidelines to Ward Committee members, Councillors and officials on the establishment and operation of Ward Committees.

5. Establishment Process

Ethekweni Municipality hereby characterizes itself as a Category A Municipality with a collective executive system combined with a ward participatory system.

6. Status of Ward Committees

The object of a Ward Committee is to enhance participatory democracy in local government. A Ward Committee which is an advisory body; independent, and must be impartial and performs its functions without fear, favour or prejudice.

7. Functions and Powers of Ward Committees

A Ward Committee shall make recommendations on matters affecting its ward to the Council; Executive Committee or the relevant Sub-Committee through the Ward Councillor.

It shall have such duties and the Council in terms of Section 59 of the Municipal Systems Act may delegate powers as to it. A Ward Committee shall have the following duties and powers:

- To serve as an official specialised participatory structure in the municipality;
- To create formal unbiased communication channels as well as co-operative partnerships between the community and the Council. This may be achieved as follows:
 - Advise and make recommendations to the Council through the Ward Councillor on matters and policies affecting the ward;
 - Assist the Council in identifying conditions, problems and residents' needs;
 - Spread information in the ward concerning municipal issues such as the budget, integrated development planning, service delivery options and municipal properties;
 - Receive queries and complaints from residents concerning municipal service delivery, communicate it to Council and provide feedback to community on Council's responses;
 - Ensure constructive and harmonious interaction between municipality and community through the use and co-ordination of ward residents meetings and other community forums;
 - Interact with other forums and organisations on matters affecting the ward.
- To serve as mobilising agents for community action. This may be achieved as follows:
 - Attending to all matters that affect and benefit the community;
 - Acting in the best interest of the community;
 - Ensure the active participation of the community in:
 - Service payment campaigns;
 - The integrated development planning process;
 - The municipality's budgetary process;
 - Decisions about the provision of municipal services;
 - Decisions about by-laws.
 - Delaminate and chair zonal meetings.

No executive powers are delegated to Ward Committee members. A Ward Committee may express dissatisfaction to the Council on the non-performance of a Councillor.

A Ward Committee shall, subject to available capacity and resources, conduct an annual satisfaction survey in order to assist the committee in the execution of its functions and powers. The satisfaction survey should be administered in the ward by Ward Committee members under the supervision of the Ward Councillor and with the administrative support of the Municipality.

8. Capacity Building and training

Community Participation and Action Support Unit must do an annual capacity building and training needs assessment for members of the Committee. An annual capacity building and training programme must be developed for each member of the Ward Committee. Annual budget for the Capacity Building and Training Programme shall be prepared according to the needs assessment. The following requirements may be included in the training and capacity building programmes of eThekweni Municipality:

Generic training needs, including:

- Communication;
- Interpersonal skills;
- Conflict Management and negotiation skills;
- Democracy and community participation and
- Leadership.

Training needs on **municipal policy and processes**, including:

- Principles of good governance;
- The establishment of Ward Committees, its terms of reference, nature and functions;
- Municipal structures, legislation and processes (including CMIP and IDP);
- Intergovernmental community development and
- Payment for services (credit control)

Specialized training needs, including:

- Meeting procedures and secretarial services (minute taking, report writing, letter writing, etc.);
- Administration (clerical/ administrative skills, bookkeeping, basic accounting, etc.);
- Budgeting;

- Monitoring and evaluation;
- Policy development;
- Project Management;
- Performance Management and
- Community Based Planning.

9. Composition of Ward Committees

A Ward Committee consists of the Councillor representing that ward in the Council who must also be the chairperson of the committee, and not more than ten other persons. PR Councillors deployed by their political parties to serve in a ward shall be *ex officio* members of the Ward Committee. In areas where wards have traditional authorities, Amakhosi shall be *ex officio* members of a Ward Committee. The procedure for electing members shall take into account the need for women to be equitably represented in a Ward Committee and for a diversity of interests in the ward to be represented. Gender equity shall be pursued by ensuring that there is an even spread of men and women on a Ward Committee. A Ward Committee shall appoint a secretary and a treasurer from their membership to fulfill relevant duties of the Ward Committee. A Ward Committee shall decide on portfolios to be given to the remaining eight members of the Committee. Portfolios must be inline with Integrated Development Plan's key outcomes. These outcomes are:

- Sustainable economic growth and job creation;
- Fully serviced, well maintained quality living environments;
- Safe and secured environment;
- Healthy and empowered citizens;
- Embracing our cultural diversity;
- Sustaining the natural and built environment;
- Democratising local government and
- Financially viable and sustainable local government.

A Ward Councillor shall delegate in writing the chairing of a meeting in his or her absence to a PR Councillor or in the absence of a PR Councillor any member of the Ward Committee. A Ward Committee shall establish one or more interest-based forums necessary for the performance of its functions and to involve organisations more broadly. This should be done within six months after elections. A Ward Committee must identify

key stakeholders of such an interest-based forum, appoint a chairperson from among its members and determine the function of such a forum. The Ward Committee and accredited interest based forums may come together as a Ward Forum for major discussions. All stakeholders in the ward must be encouraged by the Ward Committee to participate in interest based forums that are relevant to their fields of interest and to their day-to-day functioning as a sector. Ward Committee may co-opt not more than three (3) members to serve on the Committee. Co-option should be done to ensure broader representation of sectors or geographic areas. Co-opted members shall have ex-officio status.

10. Ward Committee Meetings

Chairperson

Ward Committee meetings are convened and chaired by the Ward Councillor. Members of the Ward Committee must submit items to be discussed to the Chairperson at least seven days in advance. The Chairperson and or the Secretary shall be responsible for preparing an agenda for Ward Committee meetings.

Frequency of meetings

A Ward Committee must meet at least twice quarterly. A Ward Committee must determine a programme for meetings at the beginning of the year to be in line with the Municipal Council programme. Regular meeting intervals need to be determined.

Quorum and decisions

A majority of Ward Committee members must be present before a vote may be taken on any matter (50% plus 1 member). A Ward Committee shall endeavor to take decisions based on consensus. If consensus on any matter cannot be achieved, such matter may be determined by a supporting vote of the majority of the members of the committee (50% + 1 of the committee members present).

Public meetings (Ward meetings)

Public meetings are mainly held in order-

- To register the concerns and inputs of the community with regard to service delivery, general development of the community, disaster management and any other municipal concern the community may have.
- To report back to the public on issues that affect it.

The Ward Councillor should chair ward or public meetings. A Ward Councillor may delegate in writing the chairing of the meeting in his/ her absence to a PR Councillor or any member of the Ward Committee. If the committee decides to hold a public meeting it must publish a notice at least fourteen days in advance in a newspaper circulating in the area concerned or by any other acceptable means of public notification stating the time, date and place of the meeting or each meeting and inviting the public to attend the meeting or meetings. The scheduled date, time and place of the meeting should be convenient so as to encourage the greatest number of people to attend. The venue-

- Must be in a well known place;
- Must be easily accessible and, also disabled-friendly; and
- Should be large enough to accommodate all people present.

Where the jurisdiction of a traditional authority extend to the ward where a public meeting is to be held, the relevant traditional authority should be informed of the public meeting. When the committee publishes a notice, it must convey, where appropriate, by radio or other appropriate means of communication, such as direct mail outs and posters or notices in key areas such clinics, schools, bus stops, libraries, and the contents of the notice in the area concerned. At a public meeting a representative of the committee must-

- Explain the meeting procedures, such as adoption of agenda, time allowed for questions, etc.
- Explain the issues the committee has to consider, including any options open to the committee;
- Allow members of the public attending the meeting to air their views on these issues;
- Answer relevant questions;
- Keep minutes of the meeting and inform the public that Ward Committee meeting and public meeting minutes are public documents and that the community has access to these documents and may make copies at their own cost; and
- Give feedback on previous issues, including reasons if there is a lack of progress.

Public meetings are not political platforms and Ward Committee members and the community should refrain from making party political statements, campaigning and canvassing. For the purposes of participation in community meetings, a Ward Committee may keep a register of interest groups and organisations that are active in the ward.

Procedures

A Ward Committee with a supporting vote of the majority of its members may determine its own procedures subject to any directions of the Council.

Work programme

The Ward Committee:

- Must submit a programme with specific outputs of work for one year to the office of the Speaker in April of each year;
- Must perform the functions as set out to achieve and indicated in the work programme;
- on request by the Municipal Council administration; and
- in accordance with priorities and reasonable time frames agreed upon.

11. Administrative Support

Community Participation and Action Support Unit shall make administrative arrangements to enable Ward Committees to perform their functions and exercise their powers effectively. Resources shall be allocated to each Ward Committee to ensure community participation. Administrative support to be given to Ward Committees shall include:

- The promotion of Ward Committees in the community – informing the communities of the roles and responsibilities of Ward Committees. A practical example in this regard may be the provision of formal identification cards to Ward Committee members so that they are recognized as legitimate Ward Committee members amongst the communities;
- To identify or arrange central meeting places in the ward where communities have access to information and where Ward Committees can meet;
- Assisting with the translation of information and documentation for the community;
- Developing and providing capacity building and training programmes for Ward Committees on an ongoing basis during their term of office; and

- Facilitation of Ward Committee elections.

12. Term of Office

Ward Committees are elected for a period of two (2) years.

13. Vacancies

If a vacancy occurs among members of a Ward Committee, it shall be filled forthwith. The following procedure shall be applied:

- The Ward Councillor must fill a vacancy by declaring as elected the person who received the next highest number of votes in terms of the previous election;
- If nobody can be declared elected in the above manner, the election process must be repeated.

14. Termination of membership

The following shall serve as sufficient motivation to terminate the membership of Ward Committee members:

- Death;
- Resignation;
- Relocation from ward;
- Failure to attend three consecutive meetings of the Ward Committee without apology;
- Failure to attend five consecutive meetings with apology;
- Failure to adhere to meeting procedure or misconduct during Ward Committee meetings;
- Becomes involved in activities that undermine the Council;
- Dismissed in accordance with the resolution of the Ward Committee or by the Executive Committee in consultation with the Ward Councillor;
- Is insolvent or declared mentally incompetent by a competent court.
- The community has passed the vote of no confidence.

15. Budget

No remuneration is to be paid to Ward Committee members. EThekweni Municipality shall annually budget for:

- Transport expenses of members of Ward Committees in respect of their participation in Ward Committees;
- A Ward Councillor and a person co-coordinating a meeting should approve and validate the work done by each member who claims out of pocket expenses and
- Capacity building and training programmes for Committee members.
- Transport expenses shall be given to members of Ward Committees where there is a dire necessity.

16. Accountability

As the accounting officer for the Ward Committee, the Ward Councillor must:

- Ensure that records of:
 - Minutes of the meetings;
 - All income and expenditure of the Committee; and
 - All assets, liabilities and financial transactions of the Committee are kept safe
- Ensure that the Committees' available resources are properly safeguarded and used in the most effective and efficient way;
- Ensure that all statutory measures applicable to the Committee are complied with;
- Ensure the preparation of financial statements by the treasurer of the committee in accordance with general accepted accounting practice with a month after the end of each financial year;
- Ensure that all decisions taken by the Ward Committee are formalized and submitted to the office of the Speaker for presentation at the Council at interval determined by the Speaker;
- Must report a collective view adopted by the Ward Committee to the Council;
- Ensure the production of a progress report on major achievements and areas of failure with reasons within two months after the end of the financial year;
- Submit the progress report to the Office of the Speaker for a review of the performance of the Committee; and

- Implement any corrective measures to ensure effective and efficient performance of the Committee as suggested by the Office of the Speaker.

17. Dispute Resolution

The following mechanisms are recommended when disputes arise within Ward Committees:

- Every effort should be made to deal with disputes;
- When a dispute arises, the Ward Councillor should appoint an independent person or persons (maximum 2) with the assistance of Community Participation and Action Support Unit to try and resolve the dispute through mediation;
- If the attempt at mediation fails, the matter then goes to the office of the Speaker who should arbitrate;
- If the majority of the Committee members are still aggrieved, the matter should be taken to the Council via the office of the Speaker. This should be avoided as far as possible.

18. Dissolution

The Council may dissolve a Ward Committee if it fails to fulfill its object. The following may serve as indication that a Committee fails to fulfill its object:

- When it fails to meet three consecutive times;
- When the community decides to dissolve;
- When maladministration, fraud, corruption or any serious malpractice has occurred or is occurring in a Committee.

There should be due notice before the Council proceeds to dissolve a Ward Committee.

19. Annexures

Annexure A: Procedures and criteria for running Ward Committees' Elections

Annexure B: Code of Conduct for members

Annexure 1

Procedures and Criteria for Ward Committees' elections

EThekweni Municipality hereby makes the following rules regulating the procedure to elect members of Ward Committees as required by the Municipal Structures Act, No. 117 of 1998, Section 73 (3)(a):

- A1.** The Office of the Speaker shall instruct Community Participation and Action Support Unit to co-ordinate meetings for election purposes.
- A2.** Community Participation and Action Support Unit shall serve an Electoral Body that will be charged with the responsibility of handling and overseeing the election process in terms of the procedures set in the Rules regulating the establishment and operation of Ward Committees.
- A3.** Voters must be residing within the ward concerned. Electoral Body may use one of the following to verify if people reside in the ward or not:
 - i. Stickers on Identity Documents obtained from the Independent Electoral Commission when people vote or register to vote;
 - ii. Voters' roll;
 - iii. Utility bills or any other proof of residence.
- A4.** A person elected as a member of a Ward Committee must be a registered voter within the ward concerned.
- A5.** The Electoral Body shall ensure that:
 - a. There is a schedule indicating dates, times and venues for all meetings;
 - b. Meetings are well publicized for community members and stakeholders within the ward to attend;
 - c. Although no quorum for the elections is required, each meeting must be attended by not less than one hundred (100) community members;
 - d. An attendance register is completed;
 - e. Elections are free and fair and

f. All records of proceedings during the launch meetings are safely kept.

- A6.** A person working for eThekweni Municipality cannot be voted for but he or she has the right to vote.
- A7.** A person elected should not be in arrears to the Municipality for rates or service charges for a period longer than three (3) months not unless satisfactory arrangements to settle arrears have been made with relevant department(s).
- A8.** A person should not be an unrehabilitated insolvent.
- A9.** A person should not be placed under curatorship.
- A10.** A person should not be elected who after 1997 has been convicted of an offense and sentenced to imprisonment without the option of a fine for a period of not less than twelve (12) months;
- A11.** Persons of unsound mind who have been declared so by a competent court cannot be elected.
- A12.** Members nominated for election must be active in either sectors or geographic areas operating within the ward concerned.
- A13.** The model for elections is open for voters to use their right to choose members of the committee. Voters shall be advised to take into cognizance the representation of the following:
- i. Vulnerable groups especially women and youth;
 - ii. Sectors and
 - iii. Geographic areas
- A14.** Nominations for candidates shall be open for not more than two hundred percent (200%) of the elected membership of the committee.
- A15.** Each nomination must be seconded by 20% of members present in order to qualify for

candidacy.

- A16.** Closure of nominations may be proposed when there are ten (10) nominations or when voters deem necessary. The majority of community members present in the meeting must second closure. If closure at the tenth nomination is proposed and seconded by the majority then voting shall not take place. If nominations exceed ten, then voting shall take place.
- A17.** Ratification of members who were previously elected may be suggested provided that the majority is in agreement with the view.
- A18.** Each community member has a right to vote for not more than ten members. The Electoral Body shall ensure that there is no voter who votes for more than ten times.
- A19.** Voting shall take place by show of hands with voting cards.
- A20.** Any disputes and objections on the election process may be lodged through the
- A21.** Speaker's Office within three (3) days after the date of elections. Any dispute lodged after this stipulated time shall not be considered. The Speaker shall then refer disputes and objections to Adjudicating Panel led by Legal Section. The Adjudicating Panel shall (within 5 days after the objection or dispute has reached the Speaker's Office) do an investigation and determination thereof.
- A22.** Within 14 days after the date of elections, the Electoral Body shall do verification of elected members in terms of **A7** to **A10** to ensure that all members qualify to serve on a Ward Committee.

Annexure 2

Code of Conduct for Ward Committee Members

- i. A member of the Ward Committee must perform the functions of the Ward Committee in good faith and without fear, favour or prejudice.
- ii. A member of the Ward Committee may not use the position or privileges of a member for private gain, or to improperly benefit another person.
- iii. A member of the Ward Committee may not act in any other way that compromises the credibility, impartiality, independence or integrity of the Ward Committee.
- iv. A member of the Ward Committee must adopt the principle of accountability to the community and other political parties.
- v. A member of the Ward Committee must be accessible for the community and ensure that all role-players can relate to the process and the issues at hand and are able to make their input into the processes of Ward Committee.
- vi. A member of the Ward Committee must adopt the principle of transparency to promote openness, sincerity and honesty among the role-players in a participation process and promote the existence of trust and respect for integrity of each role player and a commitment by all to the overriding objectives of the process in the interest of the common good.
- vii. A member of the Ward Committee must recognise diversity and understand the differences associated with race, gender, religion, ethnicity, language, age, economic status and sexual orientation, among others.
- viii. A member of the Ward Committee must embrace all views and opinions in the process of community participation. Special effort should be made to include previously disadvantaged persons and groups, including women and youth in the process of Ward Committee.

- ix. A member of the Ward Committee must provide an apology with a valid reason to the chairperson if a meeting cannot be attended.
- x. Ward Committee members must sign a Code of Conduct, which should be administered by the Ward Councillor. The following Code of Conduct and declaration must be signed:

Interest of the community

- a. Committee members must at all times advance the mission and the vision of the eThekweni Municipality and act in the interest of the ward community;
- b. Committee members must not use their position to promote personal or private interest;
- c. Conduct of the Ward Committee member should not be influenced or dictated by improper motives; and
- d. Committee members must advance the interests of the ward as a body; and
- e. In the execution of their functions, Committee members must not favour any individuals, groups or organisations.

Ward Committee meetings

- i. Committee members must strive to attend all Ward Committee meetings;
- ii. Committee members who are unable to attend a Ward Committee meeting must tender his or her apology stating reasons why he or she is unable to attend;
- iii. Failure to attend three Ward Committee meetings in succession without a legitimate excuse will result in a member losing his membership; and
- iv. Committee members must refrain from engaging in disruptive behavior during meetings.
- v. Committee members cannot disclose embargoed information.

I _____ declare that I have read the Code of Conduct for Members of Ward Committees and that I understand it and agree to be bound by it in the execution of my functions as a Ward Committee member.